

## DIVISION OF STATE HISTORY

# POLICY AND PROCEDURE MANUAL

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## **HIST-A 1.1 Drafting & Approving Policies**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

The statute authorizing the Division gives us broad duties and responsibilities. Implementing a program requires establishing policies and procedures and rules, under the guidance of the Board of State History. This policy outlines the process of drafting policies and having them approved by the Board.

This policy does not cover the area of rulemaking. The Division, through the Board of State History, has limited rulemaking authority; its rules cover only those activities in which the Division has authority to govern or regulate the activities of those individuals and organizations outside of our direct jurisdiction. Policies, and associated procedures, are used to govern internal and staff activities.

### **Policy**

All Division policies are approved by a vote of the Board of State History.

### **Procedures**

#### **Format**

The format used in this policy is to be used in all policies. Each page will include the policy number and the date of approval or revision. Prototype documents for policy format are found on the network.

#### **Numbering scheme**

A master list of all policies is maintained in Administration. Once a policy is proposed, it will be assigned a number, in consultation with the manager responsible for the policy. The numbering scheme follows this pattern:

HIST-S N.n, where "S" designates the administrative section, "N" is the number for the general topic within the Section, and "n" is the specific policy.

The section codes are:

- A - Administration
- C - Collections Management
- E - Editorial
- H - Historical Society
- M - Museum and Exhibits
- P - Preservation

Division-wide policies will be coded "A 1."

### **Dating and tracking changes**

Each policy will be labeled with the date and its status, in this form: (status mm/dd/yy), where mm is the month, dd is the date, and yy is the year. The status will be one of the following:

- Draft (before approval of the section coordinators)
- Proposed (after approval of the section coordinators)
- Proposed revisions (for existing policies approved by the section coordinators)
- Approved (after approval of the Board)

### **Initiating Policies**

Most policies will be initiated by the program managers and section coordinators. They will draft the policy and discuss it with their staff. Each proposed policy will be brought to the weekly staff meeting to be assigned a number and to be reviewed by the other program managers. The program managers will consider whether the proposed policy has general applicability and should be adopted as a Division-wide policy, or whether it should be a section-only policy. The section coordinators may choose to disapprove the policy, send it back for additional review, or send it on for consideration by the Board of State History.

### **Approving Policies**

Policies to be reviewed by the Board will be sent to the members of the Board for review, at least two weeks before the next regularly scheduled Board meeting. A white paper, explaining the policy and its necessity, may be included. Each policy for review will be placed on the agenda. After discussion, the Board will either approve the policy, approve it with amendments, send it back to the staff for further study, or disapprove it.

Draft policies that have been recommended by the section coordinators but not yet approved by the Board will be in force until the Board acts.

### **Changing Policies**

When policies need to be changed or eliminated, the changes will be reviewed by the section coordinators and, if changes are recommended, sent on to the Board for review and placed on the agenda for the next Board meeting. A copy of the existing policy, clearly marked to show proposed changes, together with a justification for the changes, will be included. If approved by the Board, the revised policies will be reissued.

Once approved, a policy is in force until revised or eliminated by agrees to a temporary revision or suspension of the policy. The Director may suspend a policy until the next Board meeting, by notifying the Board.

Although the printed policies are printed and distributed as "Policies and Procedures," only changes to policies must be approved by the Board. The Division staff may alter the procedures as necessary. The Division supervisors and the Director must approve such changes. The Board does not need to review changes in those sections labeled "Procedures."

The Division staff may also make technical changes, such as references to statutes and to other policies, and may make non-substantive editorial changes without the approval of the Board.

However, in all cases the Board will be immediately informed of changes. They will receive a marked-up copy of the changed policy. Any Board member may request that the changes be discussed and voted on at the next regularly scheduled Board meeting.

### **Distributing Policies**

Current copies of all approved "Policies and Procedures" shall be distributed in the following manner:

Paper copies shall be copied on green sheets to all staff members and to all Board members. Additional copies shall be sent to appropriate DCED staff, the Governor's Office of Planning and Budget, and the Legislative Fiscal Analyst's Office.

Electronic copies shall be available on the Division's Local Area Network in two versions:

A Word version of policies shall be kept on the network in the directory F:\SHARED\WPDATA\POLICIES. All approved policies shall be flagged read-only; all others, including copies of approved policies that are being edited for revision, shall be available to Division staff in that directory.

A Folio® version of all approved policies shall be available to LAN users as part of the Folio® infobase named "Policies and Procedures."

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## **HIST-A 1.2 Professional Involvement Policy**

Status: Approved

Date: 4/27/06

For: Division

### **Introduction**

A professional staff enables the Division to fulfill our mission: “Preserving and Sharing Utah’s Past for the Present and Future.” In order for the Division to progress into the future, staff members are encouraged to develop and increase knowledge, skills, and abilities. This policy is designed to encourage professionalism and to promote leadership within the Division. Division administration and program coordinators who support staff members with their professional goals sustain loyalty, improve morale, establish credibility for the individual and the organization, and empower staff members to perform their duties with utmost effectiveness. Staff members should incorporate items from this policy into the personal development section of the Department’s performance plan.

### **MEMBERSHIPS IN PROFESSIONAL ORGANIZATIONS**

The Division encourages staff members to become involved in professional associations.

Prior written approval by the Department is required for all memberships paid for by the Division. The Division will pay for memberships or professional dues required by statute. Programs will pay for memberships or professional dues included in an employee’s performance plan. Division or programs will determine the need or appropriateness for more than one staff member to belong to an organization and pay for the membership dues as budgets allow. A list of organizational and individual memberships will be maintained by Administration.

Membership in professional organizations should:

- Be related to and help the employee perform his or her job.
- Enhance professional standing of the employee and the Division.
- Provide financial and philosophical benefits to the Division.

All publications received as a result of these memberships are the property of the Division or the program.

## **ROLE IN PROFESSIONAL ORGANIZATIONS**

Staff members may have opportunities to serve on committees and governing bodies of professional organizations and to participate in meetings, conferences, and workshops of the organizations. In the event a staff member will be involved in organizations during work hours or act as a representative of the Division, the staff member shall obtain his or her program coordinator's and Division Director's approval. These assignments will be included in the performance plan.

## **NON-DIVISION PROFESSIONAL ACTIVITIES**

Staff members who engage in non-Division professional activities need to refer to the Department's Disclosure Statement to determine if there is no conflict of interest with the Division. Staff members will ensure such work is done outside of regular work hours or with approved leave.

## **EDUCATIONAL ASSISTANCE**

The Division encourages ongoing education and the completion of undergraduate and advanced degrees by staff members. Staff members pursuing educational goals may request educational financial assistance from their programs. In keeping with DHRM and Department rules, the Division's criteria for educational assistance include:

- The educational program will provide a benefit to the state.
- The assistance will benefit the employee in his or her current job.
- The course work will increase the employee's career ladder potential.
- The employee shall successfully complete the required course work or the educational requirements of a program.
- The employee shall agree to repay any assistance received if the employee resigns from state employment within 12 months of completing educational work.
- The employee shall disclose all sources of funding being received for the educational program. Except for funding that must be repaid by the employee, the amount reimbursed by the State may not include funding received from other sources.
- Educational financial assistance is subject to budget availability.

Staff members seeking educational financial assistance must submit a written request to their program coordinator and Division Director, as well as the Department's Education Assistance Contract, before the course begins. The request should explain the course content, schedule, duration, and cost. If approved the educational activity should be included in the individual's performance plan and covered under a signed Department educational contract.

Program coordinators and employees are encouraged to take advantage of the Department's Career Ladder/Mobility Program for educational assistance.

## **CERTIFIED PUBLIC MANAGEMENT PROGRAM (CPM)**

The Division recognizes the value of the Certified Public Management Program and encourages supervisors, managers and prospective managers to complete the program. First priority will be given to supervisors and managers. Other candidates will be determined after a consultation between the respective program coordinator and the Division Director. Program coordinator and Division Director will consider how participation in CPM will meet the staff member's professional and personal goals.

Another area for consideration will be how the staff member's participation in CPM will meet program and Division long-term and short-term needs. Costs for CPM will be paid out of administration funds allocated to the specific programs for training and professional development and/or the program's discretionary funds.

## **WILLIAM P. MACKINNON AWARD**

William P. MacKinnon has recognized the importance of professional development. In June 1993, MacKinnon, an Honorary Life Member of the Utah State Historical Society, pledged to the Society "an annual \$1,000 [increased to \$1500 beginning 2007] cash award to be granted for the 'professional development' of a meritorious employee. . . ." Mr. MacKinnon envisioned that "the award might be used in a variety of ways. For example, one year to support the travel of a staff member to the annual meeting of say the Western History Association or Organization of American Historians, while another occasion it might fund the acquisition of materials or necessary travel of another staff member's scholarly research."

Nominations for the MacKinnon Award need to indicate the nature of the professional development, i.e., meeting, workshop or training and how it will benefit the program/Division. The request should be submitted to the Division Director by June 1<sup>st</sup>. The award will be presented at the annual meeting.

## **COMPUTER DESKTOP AND WORKFORCE ENHANCEMENT TRAINING**

Division administration will seek the most cost-effective, time-effective and efficient sources to provide staff with individual technical skills training and mandatory workforce training. All mandatory workforce enhancement training and non-programmatic computer desktop training shall be paid by Division-wide funds, and requires written pre-authorization by the Division Director.

Staff members are encouraged to select desktop application training from DTS at State Corrections, as these classes only charge a minimal fee for the training manual. DTS at State Corrections offers beginning, intermediate and advanced classes in various software programs. Division administration will notify staff of DTS/Corrections training schedule and class openings.

DHRM maintains training contracts with outside vendors for instructor-led classroom and on-line training, web-based training, and desktop applications offered by state

institutions of higher education. Current training vendors, including class descriptions and state cost, may be obtained by accessing:  
[www.dhrm.utah.gov/training/instructorLed.jsp](http://www.dhrm.utah.gov/training/instructorLed.jsp)

Staff members are encouraged to consult these resources in order to find training to enhance job performance.

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## **HIST-A 1.4 Work Schedules Policy**

Status: Approved

Date: 09/21/90

FOR: Division

### **Introduction**

The purpose of this policy is to ensure adequate staffing for each of the sections while permitting expanded open hours, and to maintain productivity while giving employees flexibility in their work schedules.

The policy requires establishing set work schedules for each employee and recording the time worked. The following definitions and policy statement should help explain the rules. They are based on the Department of Human Resource Management's rules and the Department of Community and Economic Development's policies.

### **Definitions**

#### **FLSA**

The Federal Fair Labor Standards Act, the law that governs these policies and rules.

#### **Exempt**

An exempt employee is, for these purposes, a designation under FLSA. Most Division employees above grade 19 are exempt.

#### **Non-exempt employee**

A non-exempt employee is, for these purposes, a designation under FLSA. Most Division employees grade 19 and below are non-exempt.

#### **Work week**

The time period from Saturday morning to Friday night.

#### **Pay period**

The time period coinciding with the payroll period. It runs for two weeks, from Saturday morning to Friday night.

#### **Flex time**

A flexible schedule requested or authorized for an employee by his or her supervisor. Any schedule except an 8 a.m. to 5 p.m., Monday through Friday, schedule is a flex time schedule. For full-time exempt employees, a flex time schedule requires 80 hours of work time accounted for within a pay period. For full-time non-exempt employees, a flex time schedule requires 40 hours of work time within a work week.

## **Comp time**

Approved time worked above the authorized number of hours, as determined by FLSA; that is, 80 hours/pay period for exempt employees or 40 hours/week for non-exempt employees. Comp time may be taken in another pay period.

## **Overtime**

Approved time worked above the authorized number of hours, as determined by FLSA. Employees are paid for overtime.

## **Policies**

This policy is covered by Utah Administrative Code R468-8-2 which states "tasks shall be assigned and wages paid in return for work completed, on the expectation that a fully competent employee is capable of completing the assigned workload within a normal pay period of 80 productive hours."

R468-8-2.(1) "Schedules shall be set to provide adequate staff coverage during the normal business hours of the agency. State offices are open from 8:00 a.m. to 5:00 p.m. Monday through Friday."

R468-8-2.(2) "Where an agency operates on a typical weekly work schedule, employees may, with the approval of their immediate supervisor, select a daily starting time between 7:00 a.m. and 9:00 a.m. and a quitting time between 4:00 p.m. and 6:00 p.m."

In this Division, the standard work office schedule will be Monday through Friday, 8:00 a.m. to 5:00 p.m., with one hour for lunch. Employees who must cover the public areas may have other schedules, including Saturday hours.

Employees may request another work schedule by completing "Work Schedule Change Request" (see Attachment 2) or its equivalent. While every effort will be made to accommodate these requests, it may be necessary to adjust some schedules to ensure proper staffing of each of the sections.

Any employee may apply for a flex time schedule and any supervisor may request that an employee follow a flex time schedule. Flex time schedules may be regular and long term, or they may be temporary, to cover emergencies, special projects, or for Saturday work. All flex time schedules must accommodate the needs of the Division and must be approved by the supervisor.

Once a schedule is approved by the supervisor, program manager, and director, it is in force until changed. After approval, the request constitutes that employee's work schedule. For all times on his or her work schedule each employee is expected to be in the office or to have reported his or her whereabouts to the supervisor.

A master work schedule will be maintained in each section or office to give an overview of present staff schedules and to help point out possible scheduling deficiencies (see example, Attachment 1).

Comp time may be earned by any employee below grade 27, provided the work is assigned by the supervisor in advance and is a necessary part of the job. Comp time must also be approved in advance by the Division management and the names of the employee must appear on a list approved by the Department Executive Director. Comp time approvals must be in writing and must be submitted to the Division payroll clerk with the by-weekly timesheet. Hours worked without approvals will not be credited as comp time. No comp time is to be approved or credited for employees in grade 27 and above.

Comp time will not ordinarily be approved for weekend conferences. However, flex time may be allowed.

Comp time, if approved, is earned as straight time for exempt employees and as time-and-a-half for non-exempt employees. No more than 16 hours of comp time may be earned in a pay period and no more than 80 hours of comp time may be accumulated. All comp time must be used within three months of its being earned. Both management and the employee shall arrange for use of comp time as soon as possible. Comp times should be taken before annual leave, sick leave, or converted sick leave.

The Division does not authorize overtime pay.

## **Procedures**

1) Employee who wish to work a flex time schedule fills out Work Schedule Change Request form (see attachment 2) or prepares a memo for approval by supervisor.

2) Coordinator and/or Program Manager reviews the request and either denies or approves it. If approved, the request is signed by the Section Coordinator and the Program Manager. If not approved, the request is returned to the employee with the reason for the denial.

3) If approved, the Director reviews the request and either denies or approves it. The request is signed by the Director.

4) For a flex time schedule that involves a 9- or 10-hour work-day, approval also must be granted by the Executive Director of the Department of Community and Economic Development (see example, Attachment 3).

5) After all necessary approvals, the request is returned to the employee's supervisor who notifies the employee and, once a beginning date is determined, updates the master work schedule.

6) Each employee must record the number of hours worked each day on the bi-weekly timesheet supplied by the Division payroll clerk and must turn them in each payday.

7) All non-exempt employees (except part-time employees) must account for 40 hours each week. Non-exempt employees are not to work more than 40 hours a week without the specific, written instruction of the supervisor, approved in advance by the Division administration, and only when their names appear on a list approved by the Executive Director of the Department. With prior approval, hours worked in excess of

40 per week will be recorded on the timesheet as comp time and entered on the payroll at a rate of time-and-a-half. Time worked up to 40 hours in a week is recorded before any leave time taken. For example, if an employee takes 8 hours of sick leave on Monday, but then works 9 hours each of the other four days, 36 hours of work and 4 hours of sick leave taken will be recorded.

8) All exempt employees (except part-time employees) must account for 80 hours each pay period. Exempt employees below grade 27 are not to work more than 80 hours a pay period without the specific, written instruction of the supervisor, approved in advance by the Division administration, and only when their names appear on a list approved by the Executive Director of the Department. With approval, hours worked in excess of 80 per pay period will be recorded on the timesheet as comp time, and entered on the payroll at straight time. Time worked up to 80 hours in a pay period is recorded before any leave time taken. For example, if an employee takes 8 hours of sick leave on Monday, but then works 9 hours each for 4 other days, 76 hours of work and 4 hours of sick leave taken will be recorded.

9) Supervisors must anticipate work load and scheduling problems and identify those employees who are likely to be requested to work extra time and thus earn comp time. This should be done twice annually, once for the summer season (April through August) and again for the remainder of the year (September through March). The name of these employees, the nature of their extra-hours duties, and the maximum number of hours per pay period, must be sent through channels for addition to the list approved by the Executive Director of the Department. Approvals are valid for no more than six months.

10) In the event of unanticipated emergencies requiring employees who are not on the Department list to work extra time, the supervisor shall ask the Division administration to ask the Executive Director to add names to the list.

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## **HIST-A 1.5 Volunteer Programs Policy**

Status: Approved

Date: 02/02/89

For: Division

### **Introduction**

This policy governs the utilization of volunteers within the Division. It is designed to protect volunteers and to permit them to have the maximum number of benefits provided by law and to make their voluntary experiences with the Division fruitful and pleasant. The policy is meant to be adapted to the various program needs of the sections. A volunteer application and registration form is attached.

### **Definition of Volunteer; When a Volunteer is Considered a Government Employee**

House Bill No. 205, adopted in the 1988 general session, defines "volunteer" as "any person who donates service without pay or other compensation except expenses actually and reasonably incurred as approved by the supervising agency."

It continues, "A volunteer is considered a government employee for purposes of:

(1) "receiving workers' compensation medical benefits only, which shall be the exclusive remedy for injuries and occupational diseases as provided under Chapters 1 and 2, Title 35; (according to Personnel Management Rules of the State of Utah, 1987-88, R20-13-1, 'agencies must make appropriate provisions to insure that these volunteer workers may be covered by provisions of Workers' Compensation, e.g., for work-related accidents'); Don't ask volunteers to take risks that you ordinarily wouldn't do yourself (Risk implies the voluntary taking of dangerous chances.);

(2) "the operation of motor vehicles or equipment if the volunteer is properly licensed and authorized to do so;

(3) "liability protection and indemnification normally afforded paid government employees." According to Jeano Campanaro, the Volunteer Services Coordinator for the Department of Social Services, (538-4126) volunteers are bonded as if they were state employees. Utah code annotated, Chapter 36, 63-30b-2, also adds "Any person performing services on a voluntary basis . . . shall be immune from liability with respect to any decisions or actions, other than in connection with operation of a motor vehicle, taken during the course of those services, unless it is established that such decisions or actions were grossly negligent, not made in good faith, or were made maliciously."

### **Establishing and Approving a Volunteer Program**

To establish and approve the volunteer program outline, it must be consistent with the rules provided in R20-13-2, which state, "An acceptable volunteer services program should take into consideration:

- (1) "Orientation of the new volunteer regarding the conditions of state service and their specific job assignments,
- (2) "Adequate supervision of the volunteer staff,
- (3) "Designation of class or classes of jobs for which the volunteer services will be allowed to supplement paid staff,
- (4) "Recognition of the volunteer services and a documentation of program service participation,
- (5) "Evaluation of such programs, and
- (6) "Adequate screening standards."

According to Personnel Management Rules, R20-13-3, "volunteers are not permitted to donate any service to the state or any department in the state or its subdivisions unless and until the work program in which volunteers would serve has been approved in writing by the director [of Personnel] . . . ."

### **Volunteer Organization Contacts (partial list)**

<u>Name</u>	<u>Contact</u>	<u>Telephone</u>	<u>Location</u>
City Volunteer Action	as approp.	as approp.	Logan/Ogden/Provo
Voluntary Action Center		486-2136	Salt Lake City
Volunteers of America		363-9400	Salt Lake City
United Way/Great Salt Lake Area		328-0211	Salt Lake City
Utah Directors of Volunteers	Don Cook	468-2472	Salt Lake City
RSVP (Senior Citizens)	Lee White	488-5490	Salt Lake City
Lowell Bennion Center	Irene Fisher	581-4811	Univ. of Utah
Student Volunteer Programs	as approp.	as approp.	Univ. Campuses
Dept. Youth Corrections	Joyce Stalmaker	265-5830	Salt Lake City
AARP	Vol. Action Ctr.		

### **Volunteer Reimbursement Requests**

There are no legal restrictions on travel reimbursement requests for volunteers, including transportation, meals, and lodging. Volunteers may be reimbursed for miles driven in own vehicle so long as travel is approved and the vehicle is properly licensed and insured.

The Division policy will be: "Volunteers may be reimbursed for expenses actually and necessarily incurred, to include transportation, meals, lodging, and other items as approved by the Program Manager or Coordinator."

### **Procedures**

(1) Submit a description of the work program to the Director of Personnel for approval. This description should include the purpose of the program, approximate number of volunteers that will be assisting the office and approximate hours to be logged by the volunteers. (See attachment 1)

(2) Register volunteer by having him/her read, fill out, and sign the volunteer information form (see attachment). This form also includes the Division's legal responsibilities which the volunteer acknowledges by signing the form. (See attachment 2).

(3) Brief volunteer on duties and responsibilities, including expectations and assigned scheduling.

(4) Have volunteer maintain the log sheet of times and hours worked. This log should be initialed by both the volunteer and the work program supervisor. This record will be requisite should a volunteer wish to claim Worker's Compensation. (See attachment 3).

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## **HIST-A 1.7 Awards Policy**

Status: Approved

Date: 06/19/2009

For: Division

### **Introduction**

The Board of State History each year at the annual meeting, and at other times throughout the year, makes awards to individuals and groups who have made contributions to the field of Utah history, prehistory, or historic preservation. The nature of these awards varies from one award category to the next, as do the criteria for selection. Some awards come with cash honoraria, others with membership in the Historical Society, but all come with a certificate and, perhaps, a written citation. This policy defines the award categories and their criteria, describes the process for adding new award categories and the method of funding cash awards, and describes the procedures for selecting awardees.

### **Policy**

The Board of State History determines all award categories. The Board's policy, however, is to limit the number of award categories in order to ensure that each is meaningful and valued by the awardees.

At the Board's discretion, memorial award categories may be named after those deceased individuals who have made a significant contribution to the field of Utah history, prehistory, or historic preservation. A memorial award usually, but not necessarily, comes with a cash honorarium.

Each award that comes with a cash honorarium may be fully funded by an endowment, managed by the Division as part of its non-lapsing interest-bearing account. The cash awards established by the Board before 1991 that are not now fully funded may continue as long as an annual cash gift is made to support the award.

### **The Awards**

The following awards recognize exceptional contribution, service and/or achievement:

**Fellow:** Citation reads "for outstanding research or writing in, or extraordinary contribution to, state history, historic preservation or archaeology." Fellows must have a long and distinguished career in scholarly research and writing in, or have made an extraordinary contribution to, state history, historic preservation or archaeology.

**Honorary Life Member:** Citation reads "for distinguished service to the State and the Society." Criteria include distinguished service and leadership over a long period of time.

The following awards provide recognition for the four programs of the Division of State History: collections, history, antiquities, and historic preservation. Four categories of awards are offered:

Outstanding Contribution Award: Citation reads “for outstanding contribution to the field of \_\_\_\_\_ or in support of the state’s \_\_\_\_\_ program.” Envisions a long term of service.

Outstanding Achievement Award: Citation reads “for outstanding achievement to the field of \_\_\_\_\_ or in support of the state’s \_\_\_\_\_ program.” For a specific project, activity, article, manuscript, or book..

Student Award: Citations reads “ for outstanding achievement as a college student while studying \_\_\_\_\_.”

Volunteer Award: Citations reads “ for outstanding service to the \_\_\_\_\_ program.”

The following awards provide recognition of articles published in the *Utah Historical Quarterly*, other historical journals, and history or prehistory books:

Dale L. Morgan Award: Citation reads "for the best scholarly article of the year appearing in the *Utah Historical Quarterly*." Criterion is implicit in the citation. \$100.00, funded by an annual gift from Helen Papanikolas in memory of Dale L. Morgan. Award winner is selected by a vote of the Board of Editors, Editor, Managing Editor, and Associate Editor.

Morris Rosenblatt Award: Citation reads "for the best general interest article of the year appearing in *Utah Historical Quarterly*." Criterion is implicit in the citation. \$100.00, funded by an annual gift from Jack Goodfellow in memory of Morris Rosenblatt. Award winner is selected by a vote of the Board of Editors, Editor, Managing Editor, and Associate Editor.

Nick Yengich Memorial Editors' Choice Award: Citation reads "for the *Utah Historical Quarterly* article selected as editors' choice for the year." Criteria include variety and quality of source materials, readability, and overall charm. \$100.00, funded by an annual gift from Ron Yengich. Award winner is selected by a vote of the Editor, Managing Editor, and Associate Editor.

Best Article Award: Utah history article appearing in a publication other than *Utah Historical Quarterly*. \$100.00 Funded by a gift from Switter Axland. A committee appointed by the Chair of the Board of State History selects award winner.

Best Book Award: To the author of the best book on Utah history or prehistory published during the preceding year. \$500.00 award, funded in honor of Francis Armstrong Madsen by the Madsen family. Award winner is selected by a committee appointed by the Chair of the Board of State History.

The Helen Papanikolas Award: To the best college/university student's paper on the subject of "Women's History in Utah." \$100.00 award funded from the royalties from

the book *Women in Utah History: Paradigm or Paradox* until the funds are exhausted.

Amy Allen Price Military History Award: Criterion is for a book, article, or museum exhibit significantly contributing to an understanding of United States military history as it relates to Utah. \$200.00, funded by a \$2,000.00 endowment established by Amy Allen Price.

## **Procedures**

Establishing a new award category: Any Board member, the staff of the Utah Division of State History, or any member of the Utah State Historical Society may suggest a new award category for the consideration of the Board.

Endowments: Those who wish to endow a specific cash award or a memorial award may do so by contacting the staff for direction.

Selection of Awards: Recommendations are received and reviewed by staff. Management team sends summary and recommendations to the Board for consideration at a meeting to be held prior to the annual meeting. The Board will then make the final selection of award winners.

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# **HIST-A 1.9 Financial Gifts Policy**

Status: Approved

Date: 03/27/92

For: Division

## **Background**

State Statutes (UCA section 63-18-7.5) permit the Utah State Historical Society to receive gifts, donations, bequests, devises, and endowments of money or property. All such donations become the property of the state. If the donor directs that such money or property be used in a specific manner, then the Division shall use it in accordance with these directions. Otherwise, all such money and the proceeds from such property together with the charges realized from such memberships shall be deposited in the General Fund of the state as restricted revenue of the society.

Furthermore, UCA chapter 9-8, part 7, establishes an Endowment for History. Funds deposited into this endowment are managed by the state treasurer for the benefit of Utah statewide and local historical groups that contribute matching funds.

These statutes, together with the legislative intent that all Historical Society revenue is non-lapsing, gives the Historical Society opportunities to seek donations and endowments from private donors and to use these gifts for purposes related to the mission of the Division of State History.

The authority to accept gifts and donations is vested by administrative rule (R212-3) in the Board of State History. This policy and these procedures implement that rule.

## **Definitions**

### **Board**

The Board of State History.

### **Director**

The Director of the Division of State History.

### **Division**

The Division of State History.

### **Endowment**

The Endowment for History, established according to UCA chapter 9-8, part 7.

### **Financial gifts**

Gifts, donations, bequests, devises, grants, endowments of money or property and all other donations given for the fiscal benefit of the Society. It does not mean gifts

of artifacts or library, manuscript, graphic, photographic, or other documentary material added to Society's research, exhibit, and education collections.

### **Interest-bearing account**

The Treasurer's Investment Fund account used for certain restricted donations. The account draws interest and is non-lapsing. It is subdivided into accounts for each donor-designated project established.

### **Historical Society**

The Utah State Historical Society, the membership and fund-raising arm of the Division.

## **Policy**

Donors are encouraged to make financial gifts to the Historical Society provided the gifts meet the following criteria:

- (1) All financial gifts are unrestricted unless the purpose of the restrictions furthers the stated mission and objectives of the Historical Society or Division.
- (2) All financial gifts fully support the costs of carrying out the donor's stated purposes, including overhead and administrative costs. Any exceptions must be approved by the Board based upon the recommendation of the Director and when the value of the stated purpose clearly justifies the additional expenses.
- (3) Non-cash financial gifts, including capital equipment, real and other property, will not be accepted without the approval of the Board. Most such gifts, unless they are to be used by the Division or the Historical Society and are added to the Fixed Assets inventory, are to be immediately liquidated and the proceeds handled as a cash gift.

All financial gifts must be deposited into one of three separate accounts (and into the appropriate subaccount): (1) The Historical Society account (low org. 7680), (2) The interest-bearing account, or (3) the endowment account (low org. 7655).

All financial gifts must be acknowledged. They must be accounted for using standard state accounting policies and procedures.

## **Historical Society Account**

### **Unrestricted financial gifts**

Unrestricted financial gifts shall be accepted in any amount. This includes anonymous donations that are not clearly designated for a particular purpose.

### **Procedure**

The staff member receiving the donation should, if possible, make a receipt, and, for donations over \$10.00, prepare a letter of acknowledgement for the Director's signature.

The staff member shall assure that the donation is deposited in the Historical Society unrestricted account by coding the receipt with the correct activity code (HHSTD1).

The Director shall approve the expenditure of funds from the unrestricted accounts and may transfer funds from this account to other 7680 accounts.

### **Financial gifts with limited restrictions**

Financial gifts that are restricted to supporting specific statutory duties of the Division or Historical Society, shall be accepted in any amount over \$10.00 provided the cost of accepting the financial gift does not exceed the amount of the financial gift. These statutory duties include collecting documentary and artifact material, mounting exhibits, and publishing, for example. Sub accounts, identified by activity codes, have been established for many of these purposes.

### **Procedure**

The purpose of the gift must be determined by the staff member receiving the gift. He or she should seek a written statement from the donor or record the purpose in a memo. The staff member receiving the donation should, if possible, make a receipt, and prepare a letter of acknowledgement for the Director's signature. The letter should thank the donor and confirm for the record the purpose of the gift.

The staff member shall assure that the donation is deposited in the appropriate subaccount by coding the receipt with the correct activity code. If there is no activity code established for the purpose, request that the Director approve such an account (see "Establishing new accounts" on page 5 below). Expenditures must be coded with the correct activity code.

### **Restricted financial gifts**

Financial gifts that are restricted to supporting specific major new ongoing programs or activities, shall not be sought or accepted without the approval of the Director. The Director shall seek the advise of the Board before accepting the financial gift and approving the establishment of a new program. In most cases major new ongoing projects should be supported by the interest from a subaccount in the interest-bearing account established for that purpose.

### **Procedure**

The restricted financial gift shall be accepted only after a letter of understanding is negotiated and approved by the Director and the donor. The letter of agreement must detail the purpose of the gift and the administration of

the donated and other funds. The agreement should seek to assure that a portion of the gift is set aside to cover administrative costs.

The Director shall assure that a proper activity code is established for the purpose, and that the donation is deposited in the appropriate subaccounts, including the 7680 subaccount established for administrative support (HUADMN) (see "Administrative support subaccount" below). Expenditures charged to the gift must be coded with the correct activity code.

### **Financial gifts, including grants, in support of limited-term projects**

Financial gifts that are restricted to supporting specific projects shall not be sought or accepted without the approval of the Director. The Director may seek the advise of the Board before approving a new grant-funded project.

#### **Procedure**

A grant shall be requested only after the Director reviews and approves the proposed project. The grant proposals should seek to assure that a portion of the grant may be set aside to cover administrative costs. The staff member responsible for administering the grant shall notify the Director when the grant proposal is approved and request that the Director approve a new account (see "Establishing new accounts" below).

The staff member responsible for administering the grant shall assure that the grant is deposited in the appropriate subaccounts, including the 7680 subaccount established for administrative support (HUADMN) (see "Administrative support subaccount" below), by coding the receipt with the correct activity codes. Expenditures charged to the grant must be coded with the correct activity code.

### **Administrative support subaccount (HUADMN)**

This subaccount has been established to segregate those portions of grants or other financial gifts that help pay for administrative or indirect costs.

#### **Procedure**

When a grant or another financial gift includes a portion of the funds designated to pay administrative or indirect costs, then the staff member shall assure that that portion is deposited in the administrative support subaccount (HUADMN) by coding the receipt with the correct activity code.

The Director shall approve the expenditure of funds from the administrative support subaccount (HUADMN) and may transfer funds from this account to other 7680 accounts.

### **Establishing new accounts**

Any staff member may request that a new subaccount and associated activity code be established. The Director may establish a new account in support of a new activity, provided that the financial gift fully support the costs of the project or activity. Otherwise, the Director shall seek approval from the Board.

### **Procedure**

The requester must prepare a memo for the review and approval of his supervisor, program manager, and the Director. The memo must include the following:

- Title of the proposed project or activity that requires establishing a new account.
- Narrative description of the project or activity.
- Explanation for why a separate account must be established.
- The type of account: Project, Ongoing program, or Gift.
- Source(s) of funding.
- Match requirements and source(s) of cash and in-kind match.
- If project, its term (beginning and ending dates).
- Who shall have authority to approve purchases charged to the account.

The Director, after consulting with the requester, the Budget and Accounting Officer, and others, may reject or approve the request or approve it with modifications. In many cases, short term projects that have few revenue and expenditure transactions can be accounted for using existing general 7680 accounts. The Director may recommend that these other accounts be used in those cases. However, the requester should still follow these procedures to assure that new projects are brought to the attention of the administration.

If the Director approves a new account, then the Budget and Accounting Officer shall assign an activity code, seek that the activity is established in FIRMS, and then notify the requester and add the activity code and its description to the list of approved accounts.

### **Interest-bearing Account**

There is one State Treasurer-managed non-lapsing interest-bearing account. All FIRMS reports and statements from the Treasurer reflect a single account, showing deposits, withdrawals, and interest paid. However, the Historical Society maintains its own subaccounts internally and distributes the interest among them monthly on a pro-rated basis.

Financial gifts shall be deposited into the interest-bearing account only upon the express written direction of the donor. Donors must specify in how both the principal and the interest is to be used.

Creating new subaccounts may be approved by the Director, upon the advice of the Board. Adding deposits to existing subaccounts may be done only after assuring that the

intent of the donor is consistent with the direction of the original donor. All withdrawals must be authorized by the Director.

#### **Establishing new subaccounts**

When the donor specifies that a financial gift is to be deposited to the interest-bearing account to be used for a specific purpose not yet established, the Director may accept the gift, see that it is deposited in the interest-bearing account, and then seek the advice of the Board regarding establishing the subaccount. No new subaccounts are to be established with gifts of less than \$100.00.

#### **Deposits to existing subaccounts**

When the donor specifies that a financial gift is to be deposited into the interest-bearing account for a purpose already established, the Director shall accept the gift and see that it is deposited in the interest-bearing account. Gifts of any amount shall be accepted.

### **Endowment Account**

The Utah statutes (chapter 9-8, part 7) establishes an Endowment for History managed by the State Treasurer. The Endowment may receive deposits from three sources: (1) appropriations from the Legislature, (2) donations from individuals and groups, and (3) matching funds from Utah history and heritage organizations. The sum of the first two constitute the State Fund which is allocated in two parts: the unmatched portion and the matched portion. The matched portion of the State Fund and the matching contributions constitute the Allocated Endowment, which is divided into a separate endowment for each matching organization. Interest from the Allocated Endowment goes to the organizations that contributed the match. Interest from the unmatched portion of the State Fund goes to the unmatched portion of the State Fund.

Each year the Board may determine how much of the unmatched portion to seek matching fund for, and invite history and heritage organizations to participate. The Board receives proposals and makes allocation decisions according the rule [to be written later].

#### **Procedure**

When the donor specifies that a financial gift is for the Endowment for History, the Director shall accept and acknowledge the gift and see that it is deposited in the State Fund of the endowment account.

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## **HIST-A 1.10 Signature Authority for 106 and 404 Review, Contracts and Grants, Permits, and Professional Correspondence**

Status: Approved

Date: 03/26/93

For: Division

### **Definitions**

#### **Assistant Director**

The Assistant Director of the Division of State History appointed by the Director in writing. The Assistant Director is the official in charge of the Division in the absence of both the Director and the Associate Director.

#### **Associate Director**

The Associate Director of the Division of State History appointed by the Director in writing. The Associate Director is the official in charge of the Division in the absence of the Director.

#### **Coordinators**

Those who have supervisory responsibility for Division Sections.

#### **Director**

The Director of the Division of State History.

#### **Division**

The Division of State History.

#### **DSHPO**

Deputy State Historic Preservation Officer appointed by the SHPO in writing.

#### **Grant**

Any federal and other non-general fund revenue of the Division or Society, including grants, bequests, devices, endowments, or donations, given to carry out a project or activity.

#### **Program Managers**

Those who have direct responsibility for major Division programs, including the Director, the Associate Director, the Assistant Director, and, for purposes of this policy, the Coordinator of Publications.

#### **SHPO**

State Historic Preservation Officer appointed by the Governor.

**Society**

The Utah State Historical Society.

**Subgrant**

Grants made by the Division or Historical Society to other organizations or groups.

**Policy**

**Federal Historic Preservation Act Sections 106 & 110 and Utah Statutes Section 9-8-404**

Signature authority for comments related to the federal section 106 and 110 statutes and regulations and the parallel state statutes is delegated by the Governor to the SHPO who in turn may further delegate this authority to the DSHPO.

No letter will be initiated without a verbal or written request from appropriate agencies as defined by 36 CFR 800 and state law unless signed by the SHPO or DSHPO. The letters will be addressed to appropriate federal or state requestors or designee when applicable.

All letters will specify that the response is provided as a comment to be taken into account and are provided upon request. Appropriate letters will specify that the comments do not constitute tax approval for the state and/or federal investment tax credit.

Any comments and/or recommendations from the Antiquity Section and/or the History Preservation Section will be added as attachments to a transmittal letter provided the comments are organized in a professional manner to allow transmittal without further administrative action. The transmittal letter will state that the response(s) are comments to be taken into account and are provided upon request. The absence of comments will be so noted.

In 106 and 110 Review, interested parties shall routinely be sent copies of correspondence when the lead agency official has determined it to be appropriate, according to 800.5 (e) (10), and Public Participation in 106 Review: A Guide for Agency Officials (Advisory Council 1989). In the event interested parties are so recognized, they will also be included in Memoranda of Agreement, Programmatic Memoranda of Agreement or carbon copies in correspondence.

Form letters will be used as much as possible, edited as needed.

Signature authority is delegated as follows:

- A. For concurrence with the agency/applicant without condition, signature authority is delegated to the DSHPO and from that position to the Regulatory Assistance coordinator.

- B. Cases of high profile shall be handled by the coordinator in consultation with DSHPO and when necessary the SHPO.
- C. Programmatic Agreements shall be signed by the SHPO or in his absence by the DSHPO.
- D. Memoranda of Agreement shall be signed by the SHPO or in his absence by the DSHPO.
- E. The Regulatory Assistance Coordinator is authorized to sign the above agreements when SHPO or DSHPO are not available and when the applicant needs an immediate response, provided briefing takes place on their return.
- F. The Regulatory Assistance Coordinator may delegate signature authority to other staff for the following category of letters; No Historic Properties, No Effect, No Adverse Effect, Requests for Additional Information, and Transmittal Letters.
- G. Compliance letters may be signed by the Antiquities In Situ Coordinator or Historic Preservation Coordinator under the following conditions: in an emergency when SHPO, DSHPO, and Regulatory Assistance Coordinator are not available and will be absent for more than three days. The SHPO, DSHPO, and Regulatory Assistance Coordinator will be briefed upon their return.
- H. The Historic Preservation and Antiquities Sections will comment on all related cases and from time to time monitor letters issued to insure their professional comments are properly included. The Antiquities Section and Historic Preservation Section may develop protocols of review in consultation with the Regulatory Assistance Coordinator in order to insure all cases needing professional reviews are seen.
- I. All cases will be centrally filled by the Regulatory Assistance Section. The Regulatory Assistance Section Coordinator will prepare a monthly report to the Program Manager.

### **Contracts, Grants and Grants Management**

The Director is the vested agent of the state with authority to commit the Division to grants and contracts or programs and projects in which revenue is to be received. The Director is also the agent with authority to authorize and approve subgrants.

Signature authority is delegated as follows:

- A. The Director delegates to the DSHPO all signature authority related to the National Historic Preservation Grant (NHPG) program including the application for the grant, 424's, completion reports, grant reports, covenants and letters of agreement, and National Park Service financial reports. The DSHPO may further delegate signature authority in emergencies.
- B. The Director will review, approve, and sign all other grants requests, contracts, and financial commitments, including subgrant contracts. The Director

may further delegate signature authority in emergencies. A monthly report will be provided giving the status of all contracts or subgrants.

### **Permits**

The authority to issue permits is vested in the Division. The Director is the vested agent of the Division. The Director further delegates signature authority to the Associate Director who may delegate this in writing to the Regulatory Assistance Coordinator.

The Regulatory Assistance Coordinator is responsible for permits, their filing, reporting, and tracking. The Antiquities Section is responsible for commenting on permits, and cooperating with state, local and federal agencies.

Signature authority is delegated as follows:

- A. The Associate Director has signature authority for all survey and excavation permits, including authority to both issue and revoke permits, according to the Rules. The appropriate antiquities coordinator has responsibility for professional comments and recommendations.
- B. A monthly report will list all survey permits currently valid and all new excavation permits issued.

### **National Register Nominations and Tax Credits:**

The DSHPO by appointment of the SHPO has signature authority for the National Register and Tax Credits programs.

The Historic Preservation Section Coordinator may sign in the absence of the DSHPO; however, the DSHPO will be briefed upon return.

The person preparing the state comments for the tax application will be designated as the "reviewer". Should the DSHPO or SHPO have additional comments, they will be designated "reviewer".

A monthly report will be provided giving the status of all National Register nomination action and all tax credit applications.

### **Professional Correspondence**

Professional information requests from federal, state or local agencies, interested parties, and the general public may be signed by appropriate staff professionals when not binding on the Division or the recipient.

In the event the professional correspondence could be reasonably misinterpreted or bind the Division or the recipient, a review by the Director, SHPO, DSHPO, or program manager, as appropriate, must be completed.

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## **HIST-A 1.11 Publications policy**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

The purpose of this policy is to assure that our publications represent the division in the best possible way and that costs are controlled and monitored. It assures that division publications are professionally reviewed and properly approved.

### **Definitions**

#### **Publication**

Textual and graphic materials produced in any medium in multiple copies for distribution to an audience outside the Division. Included are books; magazines, newsletters, and other serials; and brochures, leaflets, pamphlets, broadsides, announcements, programs, and other ephemeral material. It does not include teaching kits and slide and tape presentations made for limited circulation.

#### **New publication**

All publications except previously authorized serials: the Utah Historical Quarterly, Beehive History, the Newsletter, Zinj magazine, and other serials that may yet be authorized. Included are reprints and new editions as well as revised issues of brochures and pamphlets.

#### **Proposers**

Any individual staff member, board member, or volunteer; section or office within the division; or any other group within the division that has an interest in producing a publication.

#### **Director**

The Director of the Division of State History.

#### **Board**

The Board of State History.

### **Policy**

All division and society publications must be approved in advance by the Director. The Publications Office shall oversee the design and assure that technical requirements are met.

The cost of free publications must be borne by division or Historical Society funds or by grants or other gifts.

The cost of publications to be sold by the division should be borne by grants or other gifts or by the publications revolving fund if approved by the Director.

Publications meant for resale, except those sold by subscriptions or with memberships, shall be sold at retail by the Book and Gift Shop. The Book and Gift Shop shall purchase its stock of division publications from the division at wholesale. Other distributors, schools, government agencies, and nonprofit groups may purchase for resale publications at wholesale. The wholesale revenues of all publications, except as otherwise specifically authorized by the Director, shall go into the publications revolving fund. The retail revenues shall be retained in the Book and Gift Shop account.

All state purchasing and procurement rules shall be followed. The Division's Financial Gifts Policy must be followed (see HIST-A 1.9).

## **Procedures**

### **Pre-production approval**

The proposer (the individual or work group) that wishes to produce a new publication shall, after consulting with the Publications Office, prepare a request to the Director. The request should include the following:

- description of the purpose of the publication
- description of the intended audience
- outline or draft of the proposed text (all text must be in a WordPerfect format and available on the LAN)
- proposed layout
- estimate of the number of pages
- estimate of the size and frequency of press runs
- explanation of the distribution method
- estimate of the cost and sources of funding
- if the publication is to be sold, suggested wholesale and retail price and marketing plan
- supporting memos from the proposers' supervisors, program managers, and others as appropriate.

After review and discussion with the proposers, the management team, and the Budget and Accounting Officer, the Director may suggest changes and may give provisional approval.

With provisional approval, the proposers shall consult with the staff of the Publications Office before proceeding. The Publications Office staff reviews the proposal and may recommend changes. The Coordinator of Publications shall report his recommendations to the Director. The report may include his appraisal of the financial soundness and estimated market and audience. He may also include a sample layout and design.

With the Coordinator of Publications's recommendation, the Director may approve the publication. However, for new serials and book-length publications, the Director shall first seek the advice of the Board. The Director may, at his discretion, place conditions on publication, including requiring interim reviews and approval steps.

### **Production and distribution**

With the Director's approval and with the help of the Publications Office, the proposers produce a production schedule with specific dates and interim deadlines. This schedule shall be reviewed by the Publications Office and the deadlines negotiated as necessary. If the publication is time-sensitive material that must be mailed, the final schedule shall be given to the Division Office Technician and to State Mail as necessary.

The proposers shall manage the production (typesetting, layout, printing, and binding) and distribution of the publication with the assistance of the Publications Office. The Publications Office staff shall provide the following services:

- content and copy editing
- design assistance
- design procurement or, if appropriate, design and layout execution, using desktop publishing and other tools
- printing and binding procurement
- State Mail and U.S. Postal Service requirements review (to make sure that the requirements are understood and met and that the proper permits are used)

The Division Office Technician shall, according to the production schedule, run the programs to select the appropriate mailing labels and shall work with State Mail and the U.S. Postal Service to see that the mailing is carried out and that the appropriate accounts are charged. The proposers shall coordinate all other distribution.

If the publication is for resale, the proposers shall coordinate the initial marketing. However, the Publications Office shall maintain the wholesale inventory and see that all copies are properly accounted for. The Publications Office will arrange, with the Book and Gift Shop and other outlets, for wholesale distribution.

The proposers shall transfer twelve (12) copies of each publication to the Collections Management section. One (1) copy shall be deposited into the Division's publications archives. One (1) copy may be cataloged for public use, as appropriate. Ten (10) copies shall then be transferred to the State Library for the depository libraries.

### **Post-Production**

The Publications Office shall maintain or otherwise track all plates and negatives and other mechanicals associated with printing. The office shall, in consultation with the proposers, determine how long the mechanicals should be kept.

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## **HIST-A 1.12 Document Review and Approval (“Four Eyes”) Policy**

Status: Approved

Date: 03/09/01

For: Division

### **Definitions**

#### **Director**

The Director of the Division of State History.

#### **Division**

The Division of State History.

#### **Program Managers**

Those who have direct responsibility for major Division programs, including the Director, the Associate Director, the Assistant Director, and, for purposes of this policy, the Coordinator of Publications.

#### **Coordinators**

Those who supervise Division Sections and who report to the Program Managers

### **Policy**

The Division’s policy is to disseminate information that is clear, unambiguous, accurate, and consistent with state policy. We work as a team to help each other by reviewing, commenting on, and making corrections to others’ written work.

### **Procedures**

Division staff shall submit their work for review by other staff members. They shall follow these guidelines as they prepare documents for distribution to the public, other federal, state, and local agencies, and to others outside the Division.

#### **General Correspondence**

General Correspondence includes responses to requests for information, including research requests, technical assistance information, field services issues, and others. Correspondence is reviewed by at least one other team member or supervisor within a respective program. However, for strictly routine letters, including letters of transmittal, those that answer requests for readily available

information such as grants and affiliates program information, and other such matters, staff should seek review by a colleague only if it will not cause unnecessary delays. Otherwise, the originator should just carefully proofread strictly routine letters.

### **Policy-related Correspondence**

This is all correspondence that has policy implications, including the following: letters of adverse effect under section 106 review (when not concurring with the agency), permit denials, tax credit denials, policy letters, special constituency letters, (i.e. constituents whose questions might create policy precedent and all constituent letter that come through the Governor's Office), and letters to legislature and the Governor's Office. At least one other team member, the supervisor, program manager, and the director, all review policy-related correspondence.

### **Form Letters**

All routine form letters, including those used for 106 review, tax credits, and permits, and for answers to routine requests, are reviewed by the program manager in January each year.

### **Forms**

Forms include grant applications, affiliate applications, deeds-of-gift, photographic reproduction requests, requests for special use, etc. The program team members, program manager, and director review and approve forms as they are developed or revised.

### **Grant Applications**

Grant applications (for grants we submit to others) are reviewed and edited by the appropriate team or staff persons, one of the editorial staff, and the Budget and Accounting Officer.

### **News Releases and Public Information Materials (including brochures, hand-outs, etc.)**

Public information staff and staff from the program that create news releases review them. Public Information and Publications staff then review them.

### **Exhibit Labels and Copy**

The public programs team, exhibits committee, and specialists as needed review exhibit-related materials.

### **Educational Materials**

The public programs team, exhibits committee, public information staff, and specialists as needed review information for teachers, tour forms and materials (form letters), and brochures.

## **Publications**

At least one staff person, other than the author, reviews articles, books, and newsletters. Outside, peer review of professional works (articles and books) is also required.

## **Inventories, Registers, and Finding Aids**

Collections staff, UHIC staff, and supervisors review archival finding aids before publishing them on the web.

## **Oral History Transcriptions**

Tapes are transcribed, copy edited internally, and then sent to the informant for review and editing.

## **Policies and Procedures**

Team members review and then the division coordinators and the Director approve policies and procedures before they are sent to the Board of State History for final approval.

## **Web Documents**

The division web committee and program manager, where appropriate, approve web-based documents before publishing.

## **Minutes**

The minute-taker and the staff member responsible for the meeting review minutes before sending to committee or board members.

## **Email**

Email is another form of correspondence. Staff members should review procedures outlined above for the appropriate category and apply to Email correspondence.

## **Others**

Although other routine correspondence, including letters of transmittal, thank you letters, etc., need not be reviewed, authors are encouraged to ask colleagues to review such written work. In all cases, the authors should run spelling and grammar checks and carefully proofread copy.

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## **HIST-A 2.1 Purchasing Policy**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

This policy covers all purchases made by the employees of the Division of State History and the Utah State Historical Society.

### **Definitions**

#### **Program managers**

The Associate Director and the Assistant Director. For purposes of this policy, the Publications Coordinator functions as a Program Manager 7630 and for 7680 (activity code HP1QUR). The Director functions as Program Manager for 7610.

#### **Purchase orders**

The Division's purchase order form, the Division of Finance purchase order form, an interdepartmental transfer form, or any other document used to place orders.

### **Policy**

All purchases must conform to state purchasing and finance laws, policies, and procedures. Authorization must be in writing, using the Division's pre-numbered Purchase Order Form, an Interdepartmental Transfer Form, a state contract form, or a memo when those forms are not appropriate.

Authority for authorizing purchases for the Division and for the Historical Society is delegated in the following ways:

All program managers have limited authority for purchases within their own programs, that is, those charged to their own low orgs. Program managers have further limited authority for purchases charged to the Historical Society (low org. 7680). A table, approved by the Director and maintained by the Budget and Accounting Office, indicates who is responsible for each 7680 account.

Purchases of less than \$300 may be approved by those delegated by their respective Program Manager. A copy of the memo of delegation, signed by the Program Manager, must be filed with the Budget and Accounting Officer. A memo rescinding delegation, signed by the Program Manager, must likewise be filed with the Budget and Accounting Officer.

A Program Manager may delegate limited authority for purchases of more than \$300 but less than \$2,000 to a staff member, with the approval of the Director. A copy of the memo of delegation, signed by the Program Manager and the Director, must be filed with the Budget and Accounting Officer. A memo rescinding delegation, signed by either the

Program Manager or the Director, must likewise be filed with the Budget and Accounting Officer.

All other purchases must be approved by the Program Manager.

All purchases of data processing equipment or software of more than \$200 must be additionally approved by the Director and the Department Data Processing Coordinator.

All purchases of data processing equipment or software of more than \$1,000 must be listed on the pre-approved Department data processing plan.

All purchases of more than \$2,000 must be additionally approved by the Director.

The Director may delegate limited authority for purchases of more than \$2,000 to a staff member after consulting with the appropriate program manager. A copy of the memo of delegation, signed by the Director, must be filed with the Budget and Accounting Officer. A memo rescinding delegation, signed by the Director, must likewise be filed with the Budget and Accounting Officer.

Most purchases should be made from vendors that are on state contract or that will accept a purchase order. However, petty cash may be used when necessary for purchases up to \$50, according to state policy.

## **Procedures for purchases that require a prepayment**

### **Requesting employee**

Use Division purchase order forms. Complete form before or at the time of the purchase. Complete all blanks on the form, especially the date and the name of the requesting employee.

Obtain authorizing signatures. Only state employees may authorize purchases. Volunteers must obtain signatures from those to whom they report.

All purchase orders must be signed by both the requesting employee and one other employee authorized to approve the purchase. However, if the purchase is for less than \$200, then the requesting employee may both sign and authorize the purchase, provided he or she has that authority.

Send one copy to the Budget and Accounting Office, with copies of other order information.

Keep two copies in the requesting employee's orders pending tickler file, with copies of any other order information, until the warrant arrives.

### **Budget and Accounting Office**

Produce a Warrant Request.

Place form in a prepayment tickler file.

When warrant arrives, send it the requesting employee (or otherwise follow directions on the purchase order form).

Move form to an orders pending tickler file.

### **Requesting employee**

When warrant arrives, send it with the vendor's order form to the vendor.

Place form in employee's orders pending tickler file.

When order arrives, remove purchase order form from orders pending tickler file.

Check contents of order against packing slips and purchase order form.

Note any variation or back orders on form.

Send form (as the receiving report), packing slips, invoices, and other documentation received with the order to the Budget and Accounting Office.

### **Budget and Accounting Office**

Upon receipt of receiving report, remove purchase order form from orders pending tickler file.

Attach all documentation to agency copy of warrant request and file it as completed.

Monthly: Check prepayment tickler file. If Warrant Requests are more than one month old, begin a trace. Contact requesting employee to determine status of order.

Procedures for purchases that do not require a prepayment

### **Requesting employee**

Use Division purchase order forms. Complete form before or at the time of the purchase. Complete all blanks on the form, especially the date and the name of the initiating employee.

Obtain authorizing signatures. Only state employees may authorize purchases. Volunteers must obtain signatures from those whom they report to.

All purchase orders must be signed by both the requesting employee and one other employee authorized to approve the purchase. However, if the purchase is for less than \$200, then the requesting employee may both sign and authorize the purchase, provided he or she has that authority.

Mail (or FAX) a copy of the purchase order to the vendor.

Send one copy of the purchase order to the Budget and Accounting Office, with copies of other order information.

Keep one copy in the requesting employee's orders pending tickler file, with copies of any other order information, until the order is received.

### **Budget and Accounting Office**

Place form in an orders pending tickler file.

### **Requesting employee**

When order arrives, remove purchase order form from orders pending tickler file.

Check contents of order against packing slips and purchase order form.

Note any variation or back orders on form.

Send form (as a receiving report), packing slips, invoices, and other documentation received with the order to the Budget & Accounting Office.

### **Budget and Accounting Office**

Upon receipt of receiving report, remove purchase order form from orders pending tickler file and place it in an invoice pending file.

When invoice is received, compare invoice to purchase order form.

If no problems, produce a Warrant Request, otherwise resolve problems.

Unless there are back orders, attach all documentation to agency copy of warrant request and file it as completed.

If there are back orders, attach all documentation to agency copy of warrant request and re-file it the orders pending tickler file.

Monthly: Check orders pending tickler file. If orders more than one month old have not been reported received, then contact requesting employee to determine status of order.

## **Procedures for purchases made with petty cash**

### **Requesting employee**

Use Division purchase order forms. Complete form before or at the time of the purchase. Complete all blanks on the form, especially the date and the name of the requesting employee and the coding information.

Obtain authorizing signatures. Only state employees may authorize purchases. Volunteers must obtain signatures from those to whom they report.

All purchase orders must be signed by both the requesting employee and one other employee authorized to approve the purchase. However, if the purchase is for less than \$10, then the requesting employee may both sign and authorize the purchase, provided he or she otherwise has authority to authorize.

Give one copy of the purchase order to the Division Petty Cash custodian, with receipts or other documentation.

Requesting employee may keep one copy in a reimbursement pending file, until the reimbursement is received.

Keep one copy of the purchase order under reconciled against FIRMS.

Upon receipt of purchase order and other documentation, make payment to requesting employee as soon as funds are available.

**Petty cash custodian**

When it is necessary to replenish petty cash fund, submit Petty Cash Reimbursement Request form (DF 53) to Division of Finance according to state procedures.

When reimbursement warrant arrives, cash it and replenish fund. Make any outstanding reimbursements to requesting employees.

Attach all documentation to agency copy of Reimbursement Request form and file as completed.

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## **HIST-A 2.2 Cash Receipting**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

These policies and procedures assure that all funds collected by the Division and by the Utah State Historical Society are promptly handled and properly accounted for by Division staff.

### **Policies**

1. All funds (e.g. cash, personal checks, money orders, etc.) received by the Division or any of its administrative units, including the Historical Society, shall be directed to the Budget and Accounting Office within one working day. Include the proper documentation.

2. All mail containing funds must be sent directly to the Budget and Accounting Office.

3. Two Budget and Accounting Office Staff shall open receipts and sign off on amounts received.

4. Budget and Accounting staff shall prepare State Treasurer Deposit forms and deposit all funds according to State Law and State Accounting Policies and Procedures (which includes the requirement that all funds be deposited within three days of receipt).

5. An individual other than the one who prepares the State Treasurer Deposits shall sign off on all such deposits and shall also confirm the deposit of all funds by reconciling History cash receipt forms issued during the period.

6. Section coordinators shall reconcile the cash receipt forms issued to their area on a monthly basis.

7. In most cases Division financial transactions shall be handled on a cash, credit card, or COD basis. However, employees may bill clients for goods or services in limited cases when authorized to do so in writing by the Director, according to the Credit policy (see HIST-A 2.3).

### **Procedures**

#### **Invoices/Accounts Receivable**

Each employee authorized to bill clients for services shall initiate an invoice using the Division's standard, pre-numbered, four-part form. All numbers in the block assigned to each employee must be accounted for.

All copies of damaged forms shall be marked "void" and returned to the Budget and Accounting Office.

The initiating employee shall retain one copy of the invoice for his or her own records and send one copy to the Budget and Accounting Office. He or she shall send two copies and a business reply envelope to the client.

The Budget and Accounting Office records the information on the invoice in the accounts receivable data base and files the copy in a tickler file.

The client should send payment with one copy of the invoice directly to the Budget and Accounting Office. Per the above stated policy, two people in the Budget and Accounting Office shall open receipts and sign off on amounts received.

Upon receipt of the payment, the Budget and Accounting Office posts the entry in the data base and removes the copy from the tickler file. Using the coding information on the invoice, the payment is deposited with the State Treasurer, following standard state accounting procedures.

A copy of the invoice is dated and marked "PAID" and sent to the initiating employee. The initiating employee retains the record of deposit until monthly FIRMS reconciliation is completed by the section coordinator.

Past due accounts are handled by the Budget and Accounting Office. After the Director reviews them, delinquent accounts are turned over to the Division of Finance, according to state policies.

### **Membership and Subscriptions Dues**

For Historical Society memberships and Newsletter and Zinj subscriptions, the following procedures apply

Renewal notices are sent to each client. The notice shall include a form with the client's address and ID number, together with a business reply envelope addressed to the Division's Budget and Accounting Office.

The client should send payment and the renewal form directly to the Budget and Accounting Office.

Upon receipt of the payment the Budget and Accounting Office uses the appropriate coding to process payments for deposit. The funds are then deposited with the State Treasurer, following standard state accounting procedures.

The renewal notice form is then sent to the membership clerk or Zinjstaff who posts the entry in the data base and then files the form.

### **Registration Dues**

For registration for Historical Society and Division sponsored events, the following procedures apply

Registration forms are sent to clients. The form shall include a notice to return the form to Attention and the name of the event.

The client returns the form and payment and the receptionist sends the envelope to the Budget and Accounting Office.

Upon receipt on the payment the Budget and Accounting Office uses the appropriate coding to process payments for deposit. The funds are then deposited with the State Treasurer, following standard state accounting procedures. The registration form is then sent to the appropriate staff member who maintains the necessary lists of registrants.

### **Book and Gift Shop Receipts**

All purchases are rung up on the point-of-sale system. Each day the Book and Gift Shop staff produces a summary report and counts out the cash register. They also prepare a deposit form for the Budget and Accounting Office and report any shortages or overages (after accounting for the change fund).

The funds (including the change fund), with the reports, are turned over to the Budget and Accounting Office daily.

The Budget and Accounting Office staff verify the deposit form and issue a receipt for the Book and Gift Shop staff. The Budget and Accounting Office uses the receipt form to properly process the funds for deposit. They are then deposited with the State Treasurer, following standard state accounting procedures.

The Book and Gift Shop staff retains the receipts until monthly FIRMS reconciliation is completed by the section coordinator.

### **Library Receipts**

All payments made in person for copies of photographs and for reference photocopies and all other payments to the library are rung up on the cash register. At the end of each day the Library staff produces a summary report and counts out the cash register. They also prepare a deposit form for the Budget and Accounting Office and reports any shortages or overages (after accounting for the change fund).

The funds (including the change fund), with the reports, are turned over to the Budget and Accounting Office daily.

The Budget and Accounting Office staff verify the deposit form and issue a receipt for the Book and Gift Shop staff. The Budget and Accounting Office uses the receipt form to properly process the funds for deposit. They are then deposited with the State Treasurer, following standard state accounting procedures.

The Library staff retains the receipts until monthly FIRMS reconciliation is completed by the section coordinator.

### **Donation Boxes Receipts**

All donations placed into the donation boxes shall be removed monthly by two people who will sign off on the amount received. The Budget and Accounting Office shall keep the keys to the donation boxes. The Public Programs Coordinator shall request the keys, with another person remove the funds (except for a small seed fund), and produce a deposit form for the Budget and Accounting Office.

The Budget and Accounting Office verifies the deposit form and makes a receipt. The Budget and Accounting Office uses the deposit form to properly process the funds for deposit. They are then deposited with the State Treasurer, following standard state accounting procedures.

The Public Programs Coordinator retains the receipts until monthly FIRMS reconciliation is completed by the section coordinator.

### **Other Funds**

Clients who wish to make payments of invoices or make other payments in person should be referred to the Budget and Accounting Office. However, in order to accommodate clients, a staff member may accept funds. They should, if possible, issue a receipt. Employees shall turn over to the Budget and Accounting Office all such funds within one working day. Copies of invoices or memos explaining the deposits and the receipts are attached to the payment and sent to the Budget and Accounting Office.

All mail not addressed to the Budget and Accounting Office but which contains funds shall be handled in the following manner

To assure that deposits are made according to policy the receptionist will date-stamp all envelopes before the mail is distributed.

Employees shall turn over to the Budget and Accounting Office all checks and cash they receive by mail within one working day. The employee shall turn the funds over to the Budget and Accounting Office with the envelope. He or she must also include a completed deposit form. When the payment is for an invoice, but is not directed to the Budget and Accounting Office, a copy of the invoice is attached to the payment and sent to the Budget and Accounting Office.

The Budget and Accounting Office will issue a receipt. Employees will make any record necessary and will hold the receipt until monthly FIRMS reconciliation is completed by the section coordinator.

Using the coding information on the deposit form, the payment is processed for deposit and deposited with the State Treasurer, following standard state accounting procedures.

In rare cases, funds may be received erroneously and should be returned to clients. In these cases, the employee who receives the funds prepares a letter of transmittal addressed to the client. The letter and the funds, in the original envelope, are turned over to the Budget and Accounting Office within one working day. The

Budget and Accounting Office handles the return and maintains the documentation, including a copy of the transmittal letter. For checks, a copy is made and filed with the other documentation. The original check is returned by mail. For cash, the funds are deposited and a warrant request for a refund check is processed.

### **Holding Funds**

All funds received by the Budget and Accounting Office shall be deposited within two working days of receipt. All funds, including the change funds, held over night shall be locked in a secure location in the Budget and Accounting Office for that purpose.

However, receipts collected on Saturdays by the Library and the Book and Gift Shop, may be held until the first working day of the following week.

The change funds needed by the Library and the Book and Gift Shop shall be picked up from the Budget and Accounting Office each morning and turned in each night. However, the change funds may be held Friday night in the Book and Gift Shop's safe when then Book and Gift Shop or the Library are to be open the following day.

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## **HIST-A 2.3 Non-cash Transactions (Credit) Policy**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

This policy defines the circumstances under which the Division will extend credit, sets limits, outlines exceptions, and authorizes units of the Division that may extend credit to clients. It establishes a Division accounts receivable procedure. It also defines how other non-cash transactions are handled, including IDTs and a Division debit account.

### **Policy**

The Division shall not extend credit to individuals. Individuals will be asked to make pre-payments by cash or credit card or to accept COD shipments or charge goods and services to a pre-established Division debit account. The Division may extend limited credit to organizations under certain circumstances.

Only selected units of the Division may extend credit to organizations and only for limited purposes. Those units are the Collections Management Section for photographic reproductions and photocopying; the Publications Office for wholesale sales of publications; the Preservation Office for literature searches and photocopying; and the Book and Gift Shop for retail sales. Other units may be authorized to extend credit with the written permission of the Director. Each employee must be authorized in writing by his or her program manager, with the approval of the Director, before he or she may approve credit under this policy. Only those employees may issue invoices.

Non-cash transactions are to used only under the following circumstances:

#### **For state agencies**

When orders are received on an agency purchase order or IDT, or when the Division employee knows that the one placing the order is indeed an employee of a state agency, the Division shall use an IDT in lieu of cash. The employee must obtain from the one placing the order the other agency's low org. number and other coding information.

For other organizations (including businesses, federal agencies, local governments, and non-profit groups)

Organizations must present a purchase order or some other acceptable documentation. Authorized employees may extend credit to organizations only after checking the list of outstanding accounts.

Employees shall not extend credit to any organization whose name is on the list. In no case shall an employee extend credit for more than \$100.00 to an organization without the Director's approval.

### **For individuals**

Individuals conducting financial transactions in person will be requested to make payments by cash, check, credit card, or to open a debit account. In no case shall an employee extend credit to an individual.

### **Customer accounts**

Individuals or organizations that plan to do long-term research projects, that are regular clients, or that have other long-term financial relationships with the Division may open a pre-paid debit account. If their name appears on the list of pre-paid clients, then authorized employees will approve charges against their account.

### **Authorizations**

Each program manager may assign employees within their programs to extend credit and to issue invoices. A list of these employees and the purposes shall be submitted to the Director for approval. The Budget and Accounting Officer shall then arrange training for these employees. Employees may issue invoices after completing training.

Individuals or organizations that wish to open a pre-paid debit account are referred to the Budget and Accounting Office where they will complete an information form and make a deposit. The Budget and Accounting Office shall issue a pre-paid debit account number and add the client's name to the list of pre-paid clients. Deposits shall be made in the 7680 miscellaneous account (HHSTSC).

### **Procedures**

Each employee authorized to issue invoices for goods or services shall follow the procedures regarding invoices and accounts receivable found in the Cash Receipting Policy (see HIST-A 2.2).

A copy of the customer's purchase order or other appropriate documentation shall be sent with a copy of the invoice to the Budget and Accounting Office. All documentation must include, at minimum, the name of the organization, address, and telephone number. If possible the name of a contact person should also be included. All of this information must also be included on the invoice.

If the customer has a pre-paid debit account, however, the only documentation required is the completed invoice, which must include the customer's account number. In these cases, all copies of the invoice will be stamped "MEMO ONLY". The Budget and Accounting Office will process the invoice in the accounts receivable system by debiting the amount of the invoice against the amount on deposit. The Budget and Accounting Office shall notify pre-paid clients when their accounts drop below a preset limit. Their

names are dropped from the list if a payment is not received in a timely manner. Appropriate journal entries will be made to adjust the accounts.

When orders are from individuals who do not have a pre-paid debit account, employees shall offer to hold the product until receipt of a check or approved credit card number, or may offer to send the product COD.

Invoices shall be issued for Book and Gift Shop orders only upon the receipt of an institutional purchase order or equivalent documentation.

Invoices shall be issued for institutional Historical Society memberships only upon the receipt of a purchase order. In those cases, the Budget and Accounting Office copy of the invoice will be stamped "MEMO ONLY" and the invoice will not be entered into the Accounts Receivable system. Membership begins when the payment is received (although the membership start date may be retroactive). The Budget and Accounting Office shall notify the membership clerk when payment is received.

Invoices will not be issued for individual Historical Society memberships. A membership application form will serve that purpose. Membership begins when the payment is received (although the membership start date may be retroactive). If individuals wish to take advantage of the Book and Gift Shop policy of receiving a discount by becoming a member, they may submit a completed membership application and membership payment with their advance payment of a Book and Gift Shop order.

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## **HIST-A 3.1 Publications Acquisition and Cataloging Policy**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

The Division of State History is, among other things, an information agency. We provide information in a variety of forms to our clientele, including employees of other state agencies and federal agencies; developers, builders, and private contractors; college and university faculty, staff and students; local history groups, local museums, and local governments; and lay historians and the interested public.

The Division also depends on information. We maintain administrative and programmatic files and collections of published library and audio-visual materials. Much published library material, especially technical material, like the programmatic files, has traditionally been the responsibility of the individual sections. These published library materials have been ordered at will and maintained without any bibliographic control.

This policy brings all published library material under the bibliographic jurisdiction of the Collections Management Section. All ordering, cataloging, and physical storage, is coordinated, but not necessarily controlled, by the professional staff of the Collections Management Section. The purpose of this policy is to reduce duplication of library material ordered by the Division and to make all of the Division's library resources available to all Division staff and to our clientele.

### **Policy**

All published library materials, including books, pamphlets, periodicals, and audiovisual material purchased or otherwise acquired by the Division are the property of the Division and are under the administrative control of the Collections Management Section. This policy is consistent with the Division's Travel and Professional Involvement Policy (see HIST-A 1.2), which specifies that when memberships in professional associations are paid by the Division, the journals received as a benefit of membership become the property of the Division.

### **Exemptions**

1. Books, pamphlets, periodicals, and audio-visual material acquired by the Division for resale are exempt from this policy.

2. Personally-owned copies of professional or technical materials received or kept by individuals in their offices are except from this policy. However, employees are advised to clearly mark all such material as their own.

3. Other materials may be exempt from this policy as determined by the Coordinator of Collections Management.

### **Procedures**

1. All published library materials are to be ordered through the Collections Management Section on the forms provided.

2. All published library materials are cataloged by the Collections Management staff. The central library catalog is accessible to the public and to all Division staff. Material will be cataloged in the course of normal cataloging routine, however the Collections Management Section will make every effort to keep the backlog of uncataloged new material to a minimum. Special requests and rush order will be treated individually.

3. All published library materials are to be housed in the stacks, or, when they are needed for regular, day-to-day staff reference, in section collections or individual offices. Material shelved outside of the stacks will be labeled as to location and the location noted in the catalog. Material held physically outside the stacks remains under the administrative control of the Collections Management Section. Standard procedures are followed regarding circulation, preservation, and deaccessioning.

4. All newly-cataloged published library materials are cataloged on RLIN.

5. Each issue of each periodical title, including trade magazines and professional journals, is checked in using the serials control software. A routing slip for each journal may be produced and the journal routed to interested staff.

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## **HIST-A 3.2 Collections Circulation Policy**

Status: Approved

Date: 07/30/93

For: Division

### **Introduction**

The purpose of this policy is to make materials held by the Division accessible to all Division staff and to our clientele, while still recognizing the essentially research nature of the collection and the need to preserve the materials.

### **Policy**

Materials *except for* rare (not easily replaceable), indispensable (one of a kind and not replaceable), and monetarily valuable items and items used frequently for research, may be checked out to staff members for short-term use and may, with authorization, be removed from the building. Selected materials may also be loaned to institutions for exhibition, educational, photographic and research purposes.

### **Procedures**

#### **Staff members**

1) Material may be loaned to staff members from the stacks and from section collections. The requesting staff members must complete the circulation form provided.

2) Materials loaned to staff members may be checked-out for two weeks, with unlimited renewals. Items checked out to temporary personnel must be checked out through their supervisors and must be returned when the employee is terminated.

3) Material needed by another staff member may be recalled if checked-out for more than two weeks. Staff members may be asked to voluntarily return material checked-out for less than four weeks if requested by a patron. All items checked out by Division personnel must be returned when they terminate their employment at the Division.

4) Staff members are responsible for material loaned to them. The abuse of circulation privileges which results in lost or damaged material may produce a reprimand or other disciplinary actions.

5) Before leaving employment with the Division, each employee must clear all outstanding loans.

#### **Circulation to other individuals and organizations**

1) Educational materials prepared for use in schools, museums, and other groups, including audio tapes, video tapes, slide shows, filmstrips, motion pictures, and multi-

media kits, may be loaned for a period of up to four weeks, provided there is a master copy of the material cataloged in the Library. The requesting patron must complete the circulation form provided. The Division may require a deposit before the material can be borrowed.

2) When materials are not returned, or when they are returned in a mutilated condition, the deposit may be forfeited and used as payment of replacement value, as defined in UCA, 9-8-203. Otherwise, all deposits are returned to the patron when the items are returned in good condition.

3) Other materials may be loaned to institutions according to the Division's Collections Lending Policy (see HIST-C 1.3).

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## **HIST-C 1.1 Collecting Policy**

Status: Approved

Date: 01/27/95

For: Collections Management

### **Introduction**

Under 9-8-203 of the Utah Code Unannotated, the Division of State History is responsible to "stimulate research, study, and activity in the field of Utah history and related history," "collect, preserve, and administer historical records relating to the history of Utah," "administer, collect, preserve, document, interpret, develop, and exhibit historical artifacts, documentary materials, and other objects relating to the history of Utah for educational and cultural purposes," and organize activities for the collection, and exhibition of historical artifacts related to the state.

This policy defines how the Division carries out its collecting responsibilities outlined in the statutes.

### **Definitions**

Acquisitions are defined as documentary materials and historical artifacts.

Documentary Materials are written or documentary data contained in published materials, manuscript collections, archival materials, photographs, sound recordings, motion pictures, and other written, visual, and aural materials, except government records.

Historical Artifacts are objects produced or shaped by human efforts, a natural object deliberately selected and used by a human, and any human-made objects produced, used, or valued by the historic peoples of Utah.

Collections Management Committee is composed of the Program Manager, Coordinator of Collections Management, Coordinator of Public Programs, and the Division's historical curators.

Acquisitions Committee is composed of the Director, a member of the Board of State History, the Program Manager, the Coordinator of Collections Management, curators within the various sections upon request, and, upon the discretion of the Director, ad hoc members from appropriate disciplines.

### **Policy**

#### Collecting Scope

Acquisitions must be consistent with the mission of the Division of State History. All items must pertain to Utah history or specific related themes.

The collecting period and scope of documentary material and historical artifacts involves all items relating to human cultural groups in Utah from the initial European contact to the present.

The geographic scope includes the state of Utah. It also includes the Territory of Utah and the state of Deseret for their respective historic periods. Of second interest is the geographic areas that feature prominently in Mormon history and Utah settlement; primarily, New York, Vermont, Ohio, Missouri, Nebraska, Wyoming, Idaho, Arizona, Nevada, and southern California.

Exclusions: Natural history specimens, prehistoric artifacts, and prehistoric American Indian ethnographic objects offered to the Division of State History will be referred to the Utah Museum of Natural History. Fine arts objects will be referred to the Utah Division of Fine Arts. Government records will be referred to the Utah State Archives, the National Archives, or another appropriate government archives. All official records of The Church of Jesus Christ of Latter-day Saints will be referred to the LDS Church Historical Department.

#### Acquisition Criteria

Acquisitions must conform to the Division's collecting objectives. Consideration is given to the needs of the user community, research interests, and educational value. Potential acquisitions will be evaluated on the following points before they will be accepted into the collection:

1. The acquisition should represent a historical association.
2. The acquisition must complement and strengthen the Division's collections. Consideration must be given to the extent the acquisition and whether its subject is already documented, duplicated, or lacking documentation in the Division's collections.
3. The potential acquisition must be appraised considering the danger of losing significant items if they are not collected in a timely matter.
4. The staff must consider Division's ability to adequately care for the acquisition.
5. Other repositories' collecting in the same subject area are considered.
6. The item's authenticity is ascertained. The materials or objects must be documented as to provenance. If the item is for sale, a fair market value must be determined between the parties.
7. The present owner should have clear title.
8. All acquisitions should be accompanied by appropriate documentation. Acquisitions should have all rights (literary, copyrights, property

rights, etc.), title, and interest transferred to the Division of State History without conditions, exceptions, encumbrances, or expectation for future use or disposition, or shall have the potential of being converted to free and clear title under appropriate law.

9. If the Division accepts donations of artifacts, the Director shall prepare a report to the Board on adherence to Board policy. The Board may then review compliance with its policy.

#### Means of Acquisition

Materials and artifacts may be acquired through purchase, gift, trade, transfer, field collection, loan, or abandonment.

All purchases will adhere to all State and Division purchasing regulations.

Items found in the collection or considered abandoned property may be accessioned into the collection according to the "Preserve Our Heritage Act," UCU 9-8-801 et seq.

According to UCU 9-8-203(4) the Division of State History will not purchase "any historical artifact, documentary materials, or specimens that are restricted from sale by federal law or the laws of any state, territory, or foreign nation." Nor will the Division of State History acquire any historical artifact, documentary materials, or specimens that are known to have been illegally or unethically collected.

#### Ethics

The Division of State History complies with the "Utah Public Officers' and Employees' Ethics Act," UCU, 67-16 et seq. All employees of the Division complete the "Disclosure Statement for Officers and Employees of the Division of State History . . . ," outlining any potential conflict of interest with outside activities.

Employees should avoid conflict of interest, by not collecting materials in the same subject areas that they are responsible for. The collecting interests of the Division of State History should always come first. Employees should not receive personal compensation for assisting in a transaction involving the agency or participate in a transaction which involves a business in which they have a personal interest.

#### Access to Records

All records and documents pertaining to collections created by the staff and volunteers remain the property of the Division of State

History and are open to public examination and use at normal business hours, except where donor confidentiality was guaranteed.

### Appraisals

No staff member shall give appraisals of the monetary value or tax deductible value of materials or artifacts.

### **Procedures**

Historical curators have the primary responsibility for collecting documentary materials and historic objects within their fields. Curators will determine whether these materials and objects fulfill the guidelines of collecting scope and acquisition criteria. All acquisitions will be reviewed by the Collections Committee. The Collections Committee will meet monthly.

Acceptance of documentary materials and historical artifacts valued under \$1,500

Any single acquisition, either item or collection, estimated by the appropriate curator to be valued under \$1,500 will be accepted on a 30 day contingency basis pending notification of and approval by the Collections Committee.

Acceptance of documentary materials and historical artifacts valued at \$1,500 to \$2,499

Any single acquisition, either item or collection, estimated by the appropriate curator or documented to be valued over \$1,499 and under \$2,500 must be approved by the Acquisition Committee.

Upon approval by the Acquisitions Committee, written notification will be given to the Board of State History.

Acceptance of documentary materials and historical artifacts valued over \$2,500

Any single acquisition, either item or collection, having an estimated value over \$2,500 must be reviewed by the Acquisition.

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## **HIST-C 1.2 Deaccessioning Collections**

Status: Approved

Date: 07/23/94

For: Collections Management

### **Introduction**

Until recently, research institutions had relatively few constraints on space, staff, and resources and were able to pursue broad collecting programs that were often ill-defined or indiscriminate. Today, sheer volume, cost, and complexity of research materials, whether artifacts, books and pamphlets, records and papers, or photographs and magnetic recordings, force archivists, librarians, and curators to take a more selective and focused approach to building collections. Part of this approach is the development of well-articulated collecting policies and plans. An important element of a collections policy is deaccessioning -- the disposal of materials from the collections through sale, transfer to other institutions, or by destruction.

### **Definitions**

Board means the Board of State History.

Collections Management Committee is composed of the Program Manager, Coordinator of Collections Management, Coordinator of Public Programs, and the Division's Historical Curators.

Deaccession means to formally remove and dispose of items or groups of items from the Division's collections.

Director means the Director of the Division of State History.

### **Policy**

Curators are responsible for proposing objects for deaccession. The Collections Management Committee will determine the suitability of a proposed item for deaccession and will make recommendations, as appropriate, to the Director and the Board.

Items and collections that fall outside the scope of current collecting policies (see HIST-C 1.1) should ordinarily be deaccessioned, as should material that has deteriorated beyond usefulness. Items and collections that may duplicate information already held in the collection may be considered for deaccessioning. However, any externally imposed restrictions, such as donor agreements or government depository arrangements, must be honored and may limit the ability to deaccession the material. The curator must also consider whether deaccessioning the material would adversely affect public access to information.

Materials excluded in this policy are those incidental and duplicate items routinely weeded from collections during processing.

## **Procedures**

### **Curators' role**

Curators responsible for individual components within the collection (i.e., photographs, artifacts, books, etc.) may propose items or collections for deaccessioning. In doing so they will prepare a report addressing the questions listed below:

- 1) Does the material fall outside the scope of collecting policies (see HIST-C 1.1)?
- 2) Is the item a duplicate or does the item or collection duplicate information already held in the collection in another format?
- 3) Has the material deteriorated beyond usefulness?
- 4) Do any externally imposed restrictions, such as donor agreements or government depository arrangements, apply to the material?
- 5) Would deaccessioning the material adversely affect public access to the information?
- 6) Are the materials free of all legal impediments? Materials will not be deaccessioned when contrary to any written agreement between the Division and the donor.
- 7) Is the title to the materials clear? Or is the documentation of ownership inadequate? Must the materials be retained until clear title is established? The Uniform Unclaimed Property Act *Utah Code Unannotated* 78-44-4 or the "Preserve Our Heritage Act," UCA 9-8-801, may be implemented to acquire clear title.
- 8) Have the Division's disposition policies been clearly and adequately explained to donors? It is preferable to have these policies explained at the time of donation. In rare cases where it has not, such as items donated before the approval of these policies, reasonable attempts must be made to consult donors when materials are considered for deaccessioning.
- 9) If, in the opinion of the curator, the value of the item(s) is over \$1,500, the item(s) must be appraised by a qualified outside appraiser, before they can be deaccessioned. If a qualified appraiser is unavailable, a community member who has demonstrated knowledge of the item and who can provide a written appraisal with an explanation of how the fair market value was determined, and who can provide an explanation of his or her qualifications in appraising the object, can be used to establish the value.

### **Review and approval process**

The curator's recommendation is reviewed by the Collections Management Committee.

**Deaccession of items valued under \$1,500:** The Collections Management Committee may approve the deaccessioning of item(s) and/or collections valued at under \$1,500.

**Deaccession of items valued from \$1,500 to less than \$2,500:** If the Collections Management Committee recommends the deaccessioning of item(s) and/or collections valued at more than \$1,500 but less than \$2,500, they send their recommendation to the Director. The Director may approve the deaccessioning of such items.

**Deaccession of items valued over \$2,500:** If the Collections Management Committee recommends the deaccessioning of item(s) and/or collections valued at more than \$1,500 and less than \$2,500, they send their recommendation to the Director. If the Director agrees, the recommendation is sent to the Board for final approval.

### **Disposal of deaccessioned materials**

Once deaccessioned, materials may be transferred to the education collection or to another institution, offered for public sale, traded for other items, or destroyed. Clear documentation of the deaccession process for each item or collection must be maintained as part of the Accession File and the Accession Record. When the deaccessioning process is complete the Files and Record of a deaccessioned item must be clearly marked and dated and remain part of the permanent record.

The disposition of deaccessioned materials will follow these priorities and procedures:

- 1) Deaccessioned items may be first offered for the Education Collection for use as exhibit props.
- 2) Deaccessioned items not useful for the Education Collection or needed as exhibit props may be offered to other collecting institutions either as a gift or in trade for other items.
- 3) The sale or disposal of deaccessioned items will be executed according to the provisions of the Agency of Surplus Property Code, UCA 63A-9-801, "The division may dispose of state surplus property by public auction, sealed bids, or by other means established by rule."

Agency of Surplus Property form SP-1 (attachment) must be completed for all transactions (attachment) with a note indicating the type of disposal.

a) Transfers and trades: Complete Agency of Surplus Property form SP-1 (attachment) for all items to be transferred or traded. Receive authorization from Utah State Agency for Surplus Property. This procedure is used to approve all transfers or trades when there is no money involved.

b) Sale or auction held at Surplus Property: Complete Agency of Surplus Property form SP-1 for disposal of property. The property should be boxed and Utah State Agency for Surplus Property and they will pick up the items, or we will deliver the items and they will dispose of the items in accordance with their

next auction, retail sale, or selected bid. From that auction or sale, we will receive proceeds that will be returned to the division.

- c) Sale or auction held at Division of State History: Complete Agency of Surplus Property form SP-1 for property to sell. Utah State Agency for Surplus Property will handle the auction or the sale can be handled from the Utah Division of State History. Surplus Property will invite local bookstores and the general public to bid on the items. Revenue from the sale will be returned to the Division, except for a 15% processing fee. The processing fee could be higher depending on the value and the amount of time that it takes to organize the sale.

4) Notification must be made to the donor at their last known address, if an item is to be deaccessioned from the collection, for any purpose.

5) The funds from the public sale of deaccessioned items will be used solely to further the preservation or development of the Division's collections.

6) No private sales to or gifts of deaccessioned items will be made to Division staff members, volunteers, members of the Board, or members of their immediate families. Appraisers cannot be involved in the disposal of items they appraise nor can they purchase items they appraise.

7) Destruction of an item is the last resort.

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## **HIST-C 1.3 Collections Lending Policy**

Status: Approved

Date: 01/20/2005

For: Collections Management

## **Introduction**

The Division of State History (Division)/Utah State Historical Society (USHS) lends its collections to public and non-profit institutions for exhibition, educational, photographic, and research purposes.

Definitions

### **Board**

The Board of State History.

### **Collection Management Coordinator**

Director appointed Collection Coordinator.

### **Collections**

Documentary materials and historical artifacts.

### **Collections Management Committee**

Composed of the Collection Management Coordinator, the Division's Historical Curators, and others as appropriate.

### **Director**

The Director of the Division of State History.

### **Documentary materials**

Written or documentary information contained in published materials, manuscript collections, archival materials, photographs, sound recordings, motion pictures, and other written, visual, and aural materials, except government records.

### **Historical artifacts**

Objects produced or shaped by human efforts, a natural object deliberately selected and used by a human, an object of aesthetic interest, and any human-made objects produced, used, or valued by the peoples of Utah.

### **Institutions**

A public or private non-profit agency or institution organized on a permanent basis for essentially educational or aesthetic purposes which utilize a professional staff, owns or utilizes tangible objects, cares for them, and exhibits them to the public on a regular basis

## **Policy**

Institutions may make requests to borrow historic artifacts and documentary materials from the Division by following the procedures itemized below.

## Procedure

- 1) Institution provides a written request signed by the Director on institution letterhead. The letter must also address the following items:
  - a) Description of condition in which historic artifact or documentary materials will be housed and/or displayed, including security and environment.
  - b) Describe method of transport and packaging of materials.
  - c) Provide proof of insurance in transport and on-site.
  - d) Transportation costs shall be born by the borrowing institution.
  - e) Adequate notice will be provided, 3 to 4 weeks prior to need.
- 2) Division reviews request to determine if historic artifact or documentary material can be lent and if staff time is available to fulfill request.
- 3) Division reviews institutions ability to properly care for the historic artifact or documentary material.
- 4) Division of State History loan forms shall be completed and signed by both the appropriate curator and the borrower or representative of the borrowing institution. The form is also signed by the collection management coordinator.
- 5) Any damage to the materials during shipping, while on display, or while otherwise in the borrower's custody must be reported to the appropriate curator immediately. Custody begins when the item(s) leaves the Division and ends upon return. Photos and condition reports are due before and after the loan.
- 6) Materials on loan shall not be cleaned, repaired, retouched, or altered in any way by the borrower, without permission.
- 7) If the historic artifact or documentary material requires special care and cleaning, the cost will be born by the borrowing institution and performed prior to loan.
- 8) Should borrowing institution have trained conservators available, special care and/or repairs may be permitted by the institution under approval of the Division.
- 9) On special occasion, with high value items, the borrower may be required to provide an independent appraisal for insurance purposes, along with proof of insurance. Insurance certificates must be sent yearly if loan period extends past one year.
- 10) All items exhibited must be credited to the Division and the Utah State Historical Society.
- 11) Loan periods will be negotiated.
- 12) Historic artifacts and documentary materials loaned by the Division may not be sub-loaned.

13) Failure to meet required loan conditions could lead to immediate return of historic artifact and possible forfeiture of loan privileges.

14) Loans or exhibits provided to private for profit organizations shall only be made with approval of the Director.

15) If there are questions raised by a request for a loan or exhibit, the request will be referred to the Board of State History.

16) The length of the loan or exhibit will be determined in the loan documents and the Division can terminate the loan with 10 days notice for cause, including but not limited to danger to the material or misuse/representation.

Utah Division of State History  
300 Rio Grande  
Salt Lake City, UT 84101-1182  
(801) 533-3574

**Agreement for Outgoing Loan**

Date: \_\_\_\_\_

To: \_\_\_\_\_

(Borrower's name and institution name)

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

From: \_\_\_\_\_

(Curator)

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

In accordance with all provisions, the objects/documentary materials listed below are borrowed for the following purpose(s):

\_\_\_\_\_

Loan period \_\_\_\_\_ to \_\_\_\_\_

(Including transit to and from Division)

Location(s) of object(s) while on  
loan: \_\_\_\_\_

Initiated by:

\_\_\_\_\_

(Curator's signature)

**Artifacts or Documentary Materials to be loaned:**

Accession Number(s): \_\_\_\_\_

Description of Item(s)

\_\_\_\_\_

(Include size, materials, condition, etc.)

Insurance Value(s): \_\_\_\_\_

**(Attach continuation sheet if necessary).**

\_\_\_\_\_

Insurance: (Please see conditions on reverse).

- to be carried by Division and premium billed to borrower
- to be carried by borrower
- insurance waived

Shipping and packing:

Object(s)/documentary material(s) will be packed by  
\_\_\_\_\_ Packaging charges to borrower Yes \_\_\_\_\_  
No \_\_\_\_\_

Item(s) will be shipped to (address):

\_\_\_\_\_

from Division  or other:

\_\_\_\_\_

Shipment to be via:

Outgoing: \_\_\_\_\_

Return: \_\_\_\_\_

Credit Line (for exhibition and catalog):

\_\_\_\_\_

Special Requirements for installation and handling:

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**(Attach continuation sheet if necessary)**

**Request**

The director of the borrowing institution, on the institutions letterhead, will make the initial request for the item(s).

**Condition**

The borrower agrees to exhibit the item(s) in a safe/secure area and will not clean or repair the item(s) without consulting with the Division.

**Reproduction and Credit**

Each item shall be labeled and credited to the Utah Division of State History/USHS. Unless otherwise stipulated in writing by the Division, the visiting public may take impromptu photographs, but no other reproduction is permitted except photographic copies for catalog and publicity uses related to the stated purpose of the loan.

**Costs**

Unless otherwise noted, all costs of packing, transportation, customs, insurance, damage and other loan-related costs shall be borne by the borrower.

**Return/Extension/Cancellation**

Objects lent must be returned to the Division in satisfactory condition by the stated termination date. An extension of the loan period must be approved in writing by the Division Director or his designate and covered by parallel extension of the insurance coverage. The Division reserves the right to recall the object from loan on short notice for cause.

## Interpretation

In the event of any conflict between this agreement and any forms of the borrower, the terms of this agreement shall be controlling.

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I have read and agree to the above conditions and certify that I am authorized to agree thereto.

---

(Signed borrower or authorized agent)

---

(Date)

---

(Title)

Approved for Utah Division of State history:

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(Date)

---

(Title)

---

## HIST-H 1.1 Client File Dissemination policy

Status: Approved

Date: 07/30/93

For: Division

### Introduction

The Historical Society's client file, also known as the membership list, includes the names, addresses, and other information about present and past members of the Utah State Historical Society, and subscribers to the Society's publications and Zinj magazine. It also includes government agencies and officials, museums, local and statewide history and heritage groups, professional associations, and other organizations and individuals that have an interest in Utah's history and heritage. The file is used internally to manage mailings but according to this policy it may be used by other organizations.

## **Policy**

The client file shall be made available to other organizations subject to the conditions listed below:

1. Non-profit history and heritage organizations may use data from the file. Commercial organizations may be granted the right to use the list if, in the opinion of the Director, it is not detrimental to the interest of the Division or Historical Society.
2. Each use of the list requires a separate request. Evidence of additional uses without further approval shall result in additional billing. However, the Director may approve an exchange of data with another organization. In those cases, the requesting organization may have unlimited use of the list.
3. The requestor may request the entire file or may request subsets by state or by Utah county. Only name and address will be included. Requests for subsets based on other selection criteria or for additional data elements may be honored only if, in the opinion of the Director, it is in the interest of the Division and will not constitute an unwarranted invasion of the privacy of those on the list.
4. The price of the lists shall be set by the Board of State History upon the recommendation of the Director. The costs shall include the cost of programming to produce special reports.

## **Procedures**

1. Those requesting data from the client file shall complete a "Client File Order Form" (see appendix). The form, with the \$10.00 order request fee, shall be sent to the Division for processing.
2. Completed forms shall be sent to the Budget and Accounting Office. The \$10.00 shall be deposited in the Historical Society account (7680 HP1QUR). The form is then forwarded to the one assigned to handle these requests. He or she shall review the request. Any non-standard requests shall be reviewed by the Director. If the Director approves, then the request is processed. Otherwise the requestor is notified and an agreement on the request is reached. If no agreement is reached the \$10.00 may be refunded.
3. If necessary, write procedures to produce the requested output. The cost of such programming shall be billed to the requestor at the rate specified on the rate table. Then run the appropriate procedures.
4. If the request is for printed labels, then the output file is sent to State Mail with a request that the output labels be returned to the Division. State mail will bill the Division for this service. Charge the bill to the Historical Society account (7680 HP1QUR).
5. If the request is for a computer file, then the output file is copied to a blank floppy disk in the file format designated.
6. An invoice is prepared. It is based on the number of entries and the rate table on the order form. It is coded for deposit in the Historical Society account (7680 HP1QUR).

Copies of the invoice are distributed according to the cash receipting policy (see HIST A-2.2). The output file or set of labels is then sent with the invoice and a copy of the order form to the requestor.

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## **HIST-H 1.2 John William James Charitable Bequest**

Status: Approved  
Date: 05/30/2003  
For: Division

### **DIVISION OF STATE HISTORY**

### **UTAH STATE HISTORICAL SOCIETY**

POLICY RELATING TO CHARITABLE BEQUEST ON BEHALF OF THE JOHN WILLIAMS JAMES FAMILY: *John Williams James, Georgia Williams James, John Williams James, Jr., Dorothy Marion Wells James, and Richard Williams James*

The Utah State Historical Society (“Society”) has received a generous charitable bequest of \$75,000 on behalf of the John Williams James Family. The bequest directs the use of the funds to “the primary purpose of making acquisitions for the library.” Pursuant to Rule R212-3-4 of the Utah Rules of Administrative Procedure and as authorized by Section 9-8-101 et seq. Utah Code Annotated, the following POLICY RELATING TO THE CHARITABLE BEQUEST ON BEHALF OF THE JOHN WILLIAMS JAMES FAMILY is adopted:

1. The Society shall deposit \$75,000 (the “Funds”) from the bequest and any interest accruing on the Funds in a separate account designated Athe John Williams James Family Bequest,≡ which shall be a non-lapsing account of the Society.
2. Disbursements from the account shall be made by the Director in accordance with this Policy.
3. The Society, through the Board and in consultation with the Director and his/her staff, shall establish and maintain a list of books, photographs, maps, microfilm, and other historical materials it wishes to acquire for the library with the Funds. These materials shall be ranked in order of desirability in accordance with the stated mission and goals of the Society.
4. The Director may purchase any material for the library, giving preference to those books, photographs, maps, microfilm, and other historical materials on the list and in order of their ranking, and make disbursements from the account to pay for such acquisitions. Such purchases shall be made in an arms-length transaction and shall not be conducted with a member of the Board, the Director, any staff member, or any other person or entity that would create a conflict of interest, unless such conflict is fully disclosed to the Board and the Director, and the Board unanimously approves such

transaction as being in the best interests of the Society and is in accordance with the Public Employees Ethics Act.

5. The Director may make any number of purchases without regard to a maximum or minimum number of acquisitions, as long as funds are available to make such acquisitions. The Director may make such expenditures after he/she determines that the purchase is in the best interests of the Society. The Director shall regularly advise the Board of all acquisition and an accounting of the Fund.

6. Any purchase made pursuant to this Policy shall comply with all applicable provisions of the Utah Procurement Code and corresponding Administrative rules.

7. The account and this policy shall remain in perpetuity until the Funds are exhausted.

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## **HIST-H 2.1 Bookstore/Giftshop Discount Policy**

Status: Approved

Date: 11/22/91

For: Utah State Historical Society--Bookstore

### **Introduction**

The Utah State Historical Society, as a service to its members and to the staff of the Division of State History, is able to offer the following discounts on merchandise sold in the Bookstore.

### **Discount Schedule**

All Utah State Historical Society and Utah Division of State History staff members and volunteers receive a 10% discount on merchandise purchased from the bookstore.

All Utah Division of State History sections receive a 20% discount on books and periodicals published by the Historical Society and a 15% discount on all other merchandise purchased from the bookstore.

Members of the Utah State Historical Society receive a 10% discount on merchandise purchased from the bookstore.

Schools, libraries, and other non-profit educational and cultural institutions may receive a 20% discount on books and periodicals published by the Historical Society.

Book dealer and jobbers may receive a 40% discount on books published by the Historical Society. This does not include the Utah Historical Quarterly or Beehive History.

There are no discounts on gift certificates. However, merchandise may be discounted according to the above schedule and the gift certificates used in payment.

The Bookstore Manager may use his or her discretion to determine special discounts for special events, conferences, and group orders.

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## **HIST-M 2.1 Exhibits Management Policy**

Status: Approved

Date: 11/22/91

For: Division

### **Introduction**

Under Utah Code 63-18-3, one of the duties of the Division of State History is "to administer, collect, preserve, document, interpret, develop, and exhibit historical artifacts and other objects relating to the history of Utah for educational and cultural purposes."

The purpose of this policy is to establish procedures for the acceptance of proposals for new exhibits, including development, production and evaluation; the creation of new traveling exhibits or reformatting old exhibits into traveling forms; accepting in-coming traveling exhibits; and the use of exhibit space in the building.

### **Policy**

Exhibits produced or acquired for the Division of State History must conform to the following guidelines:

1. Exhibits must pertain to Utah pre-history or history, or
2. Exhibits must be representative of the geographical area now included in the State of Utah; formerly included in the boundary of Utah Territory at some time in its existence; formerly included in the boundary of the State of Deseret; or of related interest to people or events pertinent to Utah pre-history or history.

All exhibits, whether produced in-house, by a private contractor, or in-coming and out-going traveling exhibitions, must be recommended by the Division Exhibits Committee and approved in writing by the Division Director. Special conditions will be considered by the Committee and Director.

Exhibit proposals will be submitted to the Coordinator of Public Programs using the "Division of State History Exhibit Proposal" form (attached). This form will then be reviewed by the Division Exhibits Committee, who may then recommend it for final approval to the Division Director. A "Division of State History Exhibit Proposal Review" form will then be issued as final approval (attached).

The development, production, and evaluation of Division exhibits must conform to the following procedures:

### **Procedures**

#### **Development**

#### **Concept Proposal**

A concept proposal is submitted and reviewed by Exhibits Committee (see Attachment 1). If approved, it is recommended by the Committee for Director's approval (see Attachment 2). Upon final approval, an Exhibits Team (composed of three to four members of the Exhibits Committee, and possibly a guest curator) is selected to supervise exhibit development and production. This phase may include the presentation of ideas for associated events (lectures, demonstrations, etc.), which can then be assigned to specific groups or individuals.

### **Exhibit Development -- First Phase**

A. Exhibit proposer, with necessary staff support, writes the Theme Statement, composed of: a) proposed title of exhibit; b) expanded statement by the proposer on the idea, objectives, and audience(s); c) examples of artifacts that could be used (also including those to be borrowed); d) examples and description of "possible" graphics to be used; e) exhibit strategy (or outline) showing organization, contents, etc.; f) sketch map. Theme Statement is then reviewed by the Exhibits Committee. Upon recommendation of the Committee and approval of the Director, the theme statement is used by the Exhibits Team to determine scheduling, an initial time and budget estimate, and possible grant avenues.

The purpose of the Theme Statement is to provide the designer (whether in-house or on contract) a document that will allow for the formation of concepts on how to design the exhibit. It will also allow for a constant focus on the "original idea" during construction.

B. Initial Time & Preliminary Budget -- approximations to be approved by the Director. Grant proposals submitted or funding found for project.

C. First Phase Statement is recommended by the Exhibits Committee and budget is approved by the Director. The First Phase Statement is: a) proposed title; b) statement of objectives and theme organization - can be in the form of drawings, models, or diagrams. Produced by designer in conjunction with curators (artifact and education), and construction staff; c) incorporate theme statement; d) comprehensive list of all artifacts and graphics; and e) complete listing of all areas and subareas in the exhibit produced as a coded list. This list is used on a diagram.

The purpose of the First Phase Statement is to permit initial evaluation of the design concept and its feasibility by the Exhibits Committee and Director.

### **Script Development**

Initial Script prepared by the proposer and written in consultation with the curator of education, and others as determined by proposer. One accepted format is an outline that incorporates headings and descriptions on the left side of a page, and the right side contains the actual titles, text, and labels that will appear in the exhibit. Initial script is then distributed to lay readers and to Exhibits Committee, which approves final text.

## **Exhibit Development -- Second Phase**

A. A Second Phase Statement is produced by designer. It consists of: a) title of exhibit; b) final design with a scale elevation and floor plans, including, when appropriate, a scale model; c) scale case layouts, graphics, text headings, and labels; and d) presentation of lighting and effects.

The purpose of the Second Phase Statement is to permit final evaluation of the theme, design, and the concept of the exhibit space by the Exhibits Committee and Director.

B. Final Script -- in same format as initial script and approved by the Exhibits Committee (after having been edited by Publications staff).

C. Final Design Specifications and construction specifications developed.

### **Production schedule**

Detailed Production Schedule produced.

Final Cost and Time Analysis.

A Production Schedule must be produced for each exhibit. This is to be a check list outlining the stages of development, as noted above, with established deadlines for completion of each stage. All phases of a project should be noted. The Exhibit Team will monitor closely all phases of production.

### **Evaluation**

A. Development and procedures of the exhibit discussed by the Exhibit Team within one week after opening.

B. On-site inspection by the Exhibits Committee within two weeks of opening - to recommend changes to be made before the exhibit is considered complete.

C. An "audience-interaction report" written by public education and presented to Exhibits Committee.

D. Exhibits Committee responds to above report and determines if further changes are necessary.

E. Exhibit Team schedules all changes in the exhibit.

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## **HIST-P 2.1 Demonstration Projects Acceptance Criteria**

Status: Approved

Date: 03/26/93

For: Preservation

### **Introduction**

This policy outlines the protocol for determining the acceptance of demonstration projects involving archaeology and paleontology recovery, scientific analysis, and other research projects.

### **Policy**

Staff are encouraged to initiate demonstration projects. All demonstration, research, and scientific analysis projects must be approved in advance in writing by the Division Director and Director of the Division of Community Development. Projects must be consistent with the Strategic Plan for Utah's History.

Project should encourage cooperation with private industry and academic institutions. Demonstration projects should impose no additional costs on the Division. Seeking funding for demonstration projects will be the responsibility of the proposer according to the financial gifts policy (see HIST-A 1.9). Projects will be managed according to Division and state financial and purchasing and personnel requirements. Costs of publishing, specimen preparation, off site facilities, curation, and analysis must be incorporated into project budget.

Demonstration projects should incorporate a cost overhead rate consistent with Division's current Indirect Cost Rate and rent rates. Other rates must be approved by the Director.

The use of hazardous chemicals will be kept to a minimum and will be managed according to Risk Management requirements and, when at all possible, be performed at locations outside the Division.

Projects, when implemented, will take full advantage of volunteers and, when at all possible, preparation facilities and excavation sites will be open to the public.

### **Procedures**

The proposer must provide a project request, including a detailed description of the project, benefits to the state of Utah, and when applicable, science in general. A detailed budget must be included.

A statement that the project does not interfere with services to government agencies and private property owners, and encourages cooperation with private industry and academic institutions will be provided. The project will be circulated for comment to the University of Utah, Utah State University, Brigham Young University, Weber State

University, Utah Museum of Natural History, College of Eastern Utah, and others as deemed appropriate by management.

After receipt of public comments and after review and written approval of the proposed project by the Division Director and the Director of the Division of Community Development, the proposer may seek funding or negotiate contracts as necessary, according to Division and state rules, policies, and procedures. The proposer must adhere to the Division's financial gifts policy (see HIST-A 1.9).

Once approved, all such projects will be incorporated into individual performance plans and must include measurable and quantifiable performance standards. Quarterly project progress reports shall be made to the Division management.

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## **HIST-P 2.2 Archaeological and Paleontological Services to Government Agencies and Private Property Owners**

Status: Approved

Date: 03/26/93

For: Preservation

### **Introduction**

This policy covers all excavation and recovery services to cities, counties, state and federal agencies, and private property owners.

### **Definitions**

#### **Program Manager**

Office of Preservation Program Manager as appointed by the Director.

#### **State Archaeologist**

The position in state law appointed by the Director.

### **Policy**

All excavation and recovery services to cities, counties, state and federal agencies, and private owners must conform to existing state law, rules and requirements. All services to these agencies and private owners will follow the priority established by the Division.

#### **Priorities**

The Division priorities are:

First, cities, counties and state government agencies which do not have in-house expertise;

Second, federal and large state agencies;

Third, private property owners involved in recovery of human remains of antiquity; and,

Fourth, private owners involved in other excavation and recovery.

The State Archaeologist is authorized to undertake excavation and develop impact analysis and determine needed assistance to cities, counties and small state agencies. The State Archaeologist is also authorized to provide short term recovery and test evaluations so long as this service can be provided in less than two days time and with less than \$500 in travel and per diem costs. The State Archaeologist is further authorized to provide assistance in preparing research designs and RFPs to assist with review and evaluation of project results.

If services being provided to cities, counties and small agencies are greater than \$500 or two days, the Program Manager is authorized to allow a longer period of time as long as direct costs (travel, per diem, artifact preparation, C-14 dating, etc.) above \$500 are paid for by the recipient of services and the time does not exceed five field work days.

Should services be required for longer than five days, Division assistance will be to help provide a private contractor in performing RFPs, research design, and evaluation services.

The State Archaeologist is authorized to assist in preparing research design and RFPs and review and evaluate results for large state and federal agencies as long as this service does not conflict with providing services to cities, counties, and small state agencies.

The State Archaeologist is authorized to provide for the recovery of human remains of antiquity as long as this service does not exceed three days and the owner agrees to comply with UCA 9-9-401-406.

The State Archaeologist is authorized to provide advice to private owners on excavation issues as time permits.

## **Procedures**

The State Archaeologist will seek written approval from Program Manager in order to carry out services for federal and large state agencies and private property owners.

The State Archaeologist will provide a quarterly report on the work performed consistent with performance plan requirements.

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